

C/03-00

Case No. 10098/6

PATENT APPLICATION TRANSMITTAL LETTER

To the Assistant Commissioner for Patents:

Transmitted herewith for filing is the patent application of: Robert L. Tritt, Kyle M. Mallot, Todd P. Glasgow, Bradley C. Glascock and Scott A. Hawkins for: SIMULTANEOUS REAL-TIME ACCESS TO FINANCIAL INFORMATION. Enclosed are:

- ☒ 3 sheet(s) of drawings, 20 pages of application (including title page), and the following Appendices: A and B.
☒ Declaration.
☒ Power of Attorney.
☒ Verified statement to establish small entity status under 37 CFR §§ 1.9 and 1.27.
☒ Assignment transmittal letter and Assignment of the invention to: _____.
☒ Information Disclosure Statement; Form PTO-1449; Copies of cited references; post card receipt.

12/30/99

JC575 U.S. PTO
09/475637

12/30/99

Claims as Filed	Col. 1	Col. 2
For	No. Filed	No. Extra
Basic Fee		
Total Claims	-20	
Indep. Claims	-3	
Multiple Dependent Claims Present		

If the difference in col. 1 is less than zero, enter "0" in col. 2.

Small Entity	
Rate	Fee
	\$ 345
x\$9=	\$
x\$39=	\$
+\$130=	\$
Total	\$

Other Than Small Entity	
Rate	Fee
	\$ 690
x\$18=	\$
x\$78=	\$
+\$260=	\$
Total	\$

Please charge my Deposit Account No. 23-1925 in the amount of \$: _____. A duplicate copy of this sheet is enclosed.

A check in the amount of \$: _____ to cover the filing fee is enclosed.

The Assistant Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

- ☒ Any additional filing fees required under 37 CFR § 1.16.
☒ Any patent application processing fees under 37 CFR § 1.17.

The Assistant Commissioner is hereby authorized to charge payment of the following fees during the pendency of this application or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

- ☐ Any filing fees under 37 CFR § 1.16 for presentation of extra claims.
☐ Any patent application processing fees under 37 CFR § 1.17.
☐ The issue fee set in 37 CFR § 1.18 at or before mailing of the Notice of Allowance, pursuant to 37 CFR § 1.311(b).

Date

12-30-1999

Matthew J. Kelly
Matthew J. Kelly
BRINKS HOFER GILSON & LIONE
Registration No. 42,716

"Express Mail" mailing label number EL272345770US

Date of Deposit: December 30, 1999

Our Case No.10098/6

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
APPLICATION FOR UNITED STATES LETTERS PATENT

INVENTOR: ROBERT L. TRITT, KYLE M. MALLOT,
TODD P. GLASGOW, BRADLEY C.
GLASCOCK, AND SCOTT A. HAWKINS

TITLE: SIMULTANEOUS REAL-TIME ACCESS TO
FINANCIAL INFORMATION

ATTORNEY: MATTHEW J KELLY
BRINKS HOFER GILSON & LIONE
P.O. BOX 10395
CHICAGO, ILLINOIS 60610
(312) 321-4200

660627 "4633460

SIMULTANEOUS REAL-TIME PRESENTATION OF FINANCIAL INFORMATION

RELATED APPLICATIONS

5 The following applications are related by subject matter and are hereby incorporated by reference:

Application Serial No. _____ entitled "Real-Time Presentation of Financial Information." Attorney reference 10098/5 filed herewith.

Application Serial No. _____ entitled "Method of Accessing Financial Information". Attorney reference 10098/7 filed herewith.

10 Application Serial No. _____ entitled " Method of Account Holder Access to Financial Information." Attorney reference 10098/8 filed herewith.

Application Serial No. _____ entitled "Method of Charging for Access to Financial Information." Attorney reference 10098/13 filed herewith.

BACKGROUND

15 A user of financial system must log-on to the financial system before the user performs an action such as an inquiry or a transaction. If the user wishes to access another financial system, the user must log-on to the second financial system. Each financial system usually has its own menus and presents information in its own manner. Thus, a user, who wishes to access
20 multiple financial systems, must remember multiple log-on user IDs and passwords and learn to operate each financial system. This process is time consuming and difficult. If the user wishes to access information from multiple financial system, the user access each financial system serially, create time lags between accesses.

25 BRIEF SUMMARY

The present invention is defined by the following claims, and nothing in this section should be taken as a limitation on those claims. By way of introduction, the preferred embodiments describe below include a method of simultaneously presenting user specific real-time financial information

includes authenticating a user, for example by using a user-id and password. Then receiving an input from the user indicating the shareholder of interest. The user is then presented with a list of the shareholder's account information. The shareholder account information can be retrieved from several different record keeping systems. The record keeping systems can be maintained by different entities and can store the respective account information in different formats.

The shareholder account information can be retrieved by broadcasting an account inquiry to the record keeping systems or by using a cross-reference table that indicates which record keeping systems the shareholder has accounts with. A combination of the broadcast and cross-reference table can be used.

Once the shareholder account information is presented, the user can select an account, for example by a hyperlink tag, and receive detailed information about that account.

BRIEF DESCRIPTION OF SEVERAL VIEWS OF THE DRAWINGS

The present invention is illustrated by way of example and not limitation in the accompanying figures. In the figures, like reference numbers indicate identical or functionally similar elements. Additionally, the left-most digit(s) of a reference number identifies the figure in which the reference number first appears.

Figure 1 is a representation of an embodiment of a system for accessing financial information;

Figure 2 is a representation of an embodiment of databases stored in a financial record keeping system; and

Figure 3 is a diagram of an embodiment of a screen with multiple regions displaying real-time financial information from multiple record keeping systems simultaneously.

DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENTS

5 A financial intermediary, such as a stockbroker, needs to access his clients' financial information. The clients' financial information often includes information about accounts at different mutual fund companies and that information is often maintained on different record keeping systems. The present invention allows the financial intermediary to view substantially simultaneously the clients' financial information from multiple record keeping systems with one user ID and password. This significantly simplifies the process of accessing the clients' financial information.

10 DST Systems' Vision Mutual Fund Gateway (Vision) incorporates some, but not all, of the features describe below. Vision includes an interactive internet site, www.dstvision.com, that allows financial intermediaries to access financial information in a real-time environment. Financial intermediaries include broker/dealers, financial advisors, financial representatives, and other. The financial information accessible through vision includes fund, shareowner account, and dealer information. Specifically, the financial information includes real-time information such as shareholder positions, account options, transaction histories, fund pricing and yields. Further, the financial information includes fund information, net asset value summaries, distribution information, order information, dealer information, branch information, representative information, and account summaries by representatives or advisor number. Vision also supports information inquiry that include inquiries to account information by dealer account number, fund account number, shareholder name, tax identification number or social security number, and representative or advisor number.

25 Vision provides access to all authorized fund groups via a single log-on, real-time fund and shareholder account information, transaction processing, and new account creation. Vision is accessible via an intranet or other networks, such as the Internet.

30 Figure 1 is a representation of an embodiment of a system 100 for accessing and presenting financial information. The system 100 includes a computer 104, a server 106, and first and second record keeping systems

108, 110. The computer 104 includes a personal computer, terminal, laptop, palmtop, mainframe, or other device capable of communicating with the server 106. In an embodiment, the computer 104 includes an output device such as a monitor, a diskette drive, or a printer. The computer 104 includes an user interface for receiving inputs from the user and providing outputs to the user.

The server 106 communicates with the computer 104 and a plurality of record keeping systems, for example the first record keeping system 108 and the second record keeping system 110. In an embodiment, the server 106 includes an access module and an user interface module. The access module is capable of accessing a plurality of independent substantially real-time financial record keeping databases. The user interface module is capable of receiving inputs from a user and presenting results to a user. In an other embodiment, the server 106 includes a user interface, record keeping system interface, and a router. The user interface communicates with an authorized user and receives user requests from the user and transmits user responses to the user. The record keeping system interface accesses information on first and second record keeping systems that maintain respective first and second account information in different formats. The router routes user requests to the first or second record keeping system as appropriate.

In a preferred embodiment, the first and second record keeping systems 108, 110 are owned by different entities, such as mutual fund companies. The server 106 may be owned by the same entity that owns one of the first and second record keeping systems 108, 110 or other entity. An example of a record keeping is DST Systems' TA2000®.

In an embodiment, the records stored in the first and second record keeping systems 108, 110 are stored in different formats. In another embodiment, the record keeping systems 108, 110 have different data structures or different operating systems. The record keeping systems 108, 110 are controlled by a.) a data warehouse company that maintains the data

for a financial institution, b.) the financial institution maintains their own data warehouse, or c.) another entity.

The records stored in the first and second record keeping systems 108, 110 include account information, such as mutual fund accounts, annuities, and other financial information, and fund information, such as yield to date, and net asset value. The records may include other account and/or fund information.

A user at the computer 104 accesses the information stored on the first and second record keeping systems 108, 110 through the server 106. Preferably the users are financial intermediaries. The computer 104 accesses the server 106 via the Internet, a direct connect, an intranet, or other mechanism. Preferably, the computer 104 accesses the server 106 via the Internet using the secure socket layer protocol (SSL). Preferably, the first and second record keeping systems 108, 110 maintain real-time financial information on accounts and funds.

The server 106 maintains several databases that track relationships. The relationships are stored in tables, database, flat files, or with other mechanisms. These databases include authentication information, such as the operator ID and password that are used during user log-on. The databases include the relationship between the operator ID and remote systems operator IDs.

For example, a user signs onto the system 100 using an operator ID and password. When that user accesses a record keeping system, the server 106 determines an second ID for the record keeping system associated with the operator ID and password. The server 106 sends a request for information to the record keeping system with the second ID, that is the operator ID or remote system operator ID. Thus, a user need only remember the operator ID and password for the server 106, and need not know the IDs for the record keeping systems. Each record keeping system uses its own ID or the server operator ID.

The server 106 also maintains information representing the relationships between operator ID and the user's financial companies. For

example, after a user logs-on to the server 106 with an operator ID and password, a list of fund families is presented. The list includes the funds that the user is allowed to access. Fund families are also called fund companies, mutual fund companies, and management companies.

5 The server 106 also maintains a routing table that represents the relationship between the fund companies and the record keeping system where their financial data is stored. This table is used to route request to record keeping systems. Financial data includes account data and fund data.

10 For example, when the server 106 receives an inquiry for fund information, the server 106 determines which record keeping entity has the data for that fund. A request for an action is then transmitted to that record keeping entity. In a preferred embodiment, the record keeping systems are directly connected with the server 106, and the routing includes port identifications, where each record keeping system is associated with a port. The action can include an inquiry, a transaction, or other activity related to an account or fund.

15 Financial intermediaries are often associated with dealer, branch, and representative identifiers. In a preferred embodiment, the record keeping system may maintain the relationships between each operator ID and the operator's dealer, broker, and representative. The dealer, broker, representative information is used to control access to account and fund information on the record keeping system. For example, a representative has access to his clients' account information. A branch manager has access the account information of the representatives in that branch. A dealer has access to the account information of the representatives at each branch.

20 Alternatively, the server 106 maintains the relationships between a user's operator ID and the dealer, branch, and representative associated with the operator ID. The dealer, branch, and representative is provided to the record keeping system in a request for information or a request for a transaction.

25

30

In a preferred embodiment, the first record keeping system 108 is a TA2000® system and the server 106 is a FAN® switch and a Stratus® server.

5 Optionally, a user at the computer 104 also accesses a record keeping system independently of the server 106. For example, direct connection is offered by some record keeping systems.

10 After the server 106 transmits a request for information to a record keeping system, the server 106 receives a response from the record keeping system. The server 106 evaluates the response and selectively presents a portion of the response to the use. The response includes the requested information or an error message. Portion of multiple responses can be presented to the user serially or substantially simultaneously.

15 In an embodiment, the server 106 executes a computer program(s) embodied on a computer-readable medium capable of presenting real-time financial account information to authenticated users. The computer program(s) includes a security module, a communication module, and a presentation module. The security module authenticates users for example with a user ID and password. The communication module communicates with at least first and second record keeping systems. The first and second record keeping system storing at least first and second real-time financial accounts in respective first and second storage formats. The first storage format being different from the second storage format. The communication module sending first and second requests for real-time financial account information to the respective first and second record keeping systems and receiving first and second responses from the respective first and second record keeping systems. The presentation module presents a portion of the first and second responses serially or substantially simultaneously.

20
25
30 In another embodiment, the server 106 includes an access module and a user interface module. The access module accesses a plurality of independent substantially real-time financial record keeping databases. The user interface module receives requests and presenting results relating to the plurality of independent substantially real-time financial record keeping

databases. The user interface module presents a uniform set of user displays for accessing the independent substantially real-time financial record keeping databases.

5 The user provides authentication information, such as a user identification and password. Once authenticated, the user enters an identification or identifications of the account holder(s) that the user wishes to get information about. A request for account information associated with the account holder identification(s) is sent to various record keeping systems. A response is received from those record keeping systems.

10 The request for account information is sent to the record keeping systems known to have information associated with the account holder identification. This can be determined by using a cross-reference table that indicates which record keeping systems have information associated with a given account holder's identification. This cross-reference table is created after the user enrolls with the server 106. Preferably, the record keeping systems or the financial institutions provide the cross-reference information to server 106. Some record keeping systems or the financial institutions may choose not provide the cross-reference information. In this case, they receive a broadcast request for information every time a request for information is sent.

20 Alternatively, this cross-reference between account holder's identification and accounts is created during the enrollment process where each fund company is identified by the user. A cross-reference between fund company and record keeping system is used to create the cross-reference table between account holder identification and record keeping system.

25 Alternatively, the cross-reference table is created in whole or in part based on previous responses to broadcast requests for information. That is, a request for account information associated with an account holder identification is sent to some or all of the known record keeping systems. The broadcast is performed periodically or on an ad hoc basis. The responses indicate which record keeping systems have account information associated

30

with them. This information is used to update the cross-reference table. This is an example of a dynamic cross-reference table.

The requests for account information are transmitted based on a cross-reference table and/or based on a list of record keeping systems or financial institutions that are known not to be included in cross-reference table. Some entities maintaining record keeping systems or financial institutions may prefer to receive a request every time a request is made and then determine if the requested account information is available instead of maintaining cross-reference tables.

While financial intermediaries accessing mutual fund accounts have been used as an example, the present invention as defined by the claims can be applied to other financial accounts such as annuities, credit accounts, bank accounts, and other financial accounts.

Figure 2 is a representation of an embodiment of databases stored in a financial record keeping system. The record keeping system format 200 includes information on fund families, 202, 204. The first fund family 202 includes information related to a plurality of accounts in the accounts data 206 and information related to a plurality of funds in the funds data 208. The second fund family 204 includes information related to a plurality of accounts in the accounts data 210 and information on a plurality of funds in the funds data 212. Preferably, the funds include mutual funds and annuities, however, the invention also includes stocks, bank accounts, or other financial accounts. The funds data 208, 212 includes such information as daily yields, year to date performance, total value, and other information.

In one example, the record keeping systems 200 is the first record keeping system 108 (Figure 1) and is maintained and controlled by DST Systems, the first and second fund families 202, 204 are respectively the First Fund Company and the Second Fund Company. The First Fund Company has a thousand accounts each owned by one or more account holders. The First Fund Company has twenty funds, such as a domestic growth fund, an international growth fund, a money market fund, and a balanced fund. The second record keeping system 110 (Figure 1) is maintained by a mutual fund

company and includes information on only the mutual fund company's mutual funds and accounts.

5 The fund families are mutual fund families, or other grouping of accounts usually at the same financial institution. The accounts represent annuities, money markets, margin accounts, bank accounts, credit accounts, and/or other accounts.

10 Figure 3 is a diagram of an embodiment of a screen 300 includes a balance area 302, a first account area 304, and a second account area 306. Additional account areas will be included if more accounts are retrieved. The screen 300 may be presented to a user on the computer 104 (Figure 1) on a monitor. The balance area 302 that includes information, such as, a summary of information in the first and second account areas 304, 306. Optionally, the balance areas 302 also includes information relating to the account holder such as the account holder's name, address, phone number, and other information. The first and second account areas 304, 306 each include information from different record keeping systems and/or account information. In the embodiment shown in Figure 3, the first account area 304 shows information relating to the "First Fund Company". The account holder, "John Smith", has two accounts with First Fund Company. These accounts have the same account number "000111" and different fund names "Growth" and "Tech Fund." Account information about John Smith's accounts include his tax ID, for example his social security number, the number of shares, and the balance. Other account information can also be included.

20 Once screen 300 is presented to the user, the user receives further details of any account by selecting the desired account. The desired fund is selected by activating a hyper link on the display, by entering the account information, or by any other means.

25 Preferably, the account information shown in Figure 3 is substantially real-time financial information.

30 While Figure 3 shows a first record keeping system with a first and second fund family having account data and fund data, other embodiments may have similar or different structure and include similar or different

information. For example, the fund families are replaced with annuity family, or accounts at a particular financial institution that may include some mutual funds, some annuity funds, some brokerage accounts, and/or other accounts. In these cases, the account data contains information about the accounts.

5 However, the type of information may vary based on the type of account.

The second account area 306 shows information for John Smith at the Second Fund Company.

10 For example, the screen 300 having substantially real-time financial information that is stored on a first record keeping system and a second record keeping system, the first record keeping system being different from the second record keeping system is accessed by the following method.

15 The server 106 (Figure 1) receives an account holder identification from a user. The account holder identification is associated with a first account information stored on the first record keeping system and a second account information on the second record keeping system. The server 106 transmits first and second requests to the respective first and second record keeping systems. The first and second requests request information associated with the account holder identification. The server 106 receives first and second responses from the respective first and second record keeping systems. The first and second responses include substantially real-time financial information associated with the account holder identification. 20 Optionally, the server 106 presents a portion of the responses to the user.

25 Optionally, the first request is transmitted based on a cross-reference of account holder identification to record keeping systems and the second request is transmitted based on a list of record keeping systems known to be absent from the cross-reference. For example, the first request is transmitted based on Table 1 and Table 2 and the second request is transmitted based on Table 3.

30 Table 1 is an embodiment of a cross-reference table showing relationships between account holder, tax ID, first and second account holder

id, and record keeping system. Table 1 shows an account holder that has different account holder identifications for each record keeping system.

Account Holder	Tax ID	First Account Holder ID	Second Account Holder ID	Record Keeping System
John Smith	123-45-6789	JS0000123	JS0000123	First RKS
John Smith	123-45-6789	JS0000123	JS0000123	First RKS
John Smith	123-45-6789	JS0000123	XYZ00999	Second RKS
Mary Jones	111-22-3333	MJ101010	MJ101010	First RKS
Mary Jones	111-22-3333	MJ101010	444555666	Second RKS
Mary Jones	111-22-3333	MJ101010	444555666	Third RKS
Mary Jones	111-22-3333	MJ101010	87654321	Fourth RKS

Table 1

Table 2 is an embodiment of a cross-reference table showing relationships between account holder, tax ID, second account holder ID, financial institutions, and account identifier. Table 2 shows that an account holder may have several accounts at one or more financial institutions and the account information is stored on different record keeping systems as indicated in Table 1.

Account Holder	Tax ID	Second Account Holder ID	Financial Institution	Account Identifier
John Smith	123-45-6789	JS0000123	ABC Funds	1000333
John Smith	123-45-6789	JS0000123	CDF Funds	2200333
John Smith	123-45-6789	XYZ00999	XYZ Funds	990099
Mary Jones	111-22-3333	MJ101010	ABC Funds	1000111
Mary Jones	111-22-3333	444555666	PDQ Funds	2234343
Mary Jones	111-22-3333	444555666	DEF Funds	333444
Mary Jones	111-22-3333	87654321	HIJ Funds	44440001

Table 2

Table 3 is an embodiment of a table showing relationships between record keeping systems and financial institutions. Table 3 shows the record keeping systems and financial institutions that are accessible to the server 106 (Figure 1) but are do not maintain their accounts in the cross-reference tables Table 1 and Table 2. The record keeping systems and financial

institutions in Table 3 receive a broadcasted request every time the server request account information.

It is preferred that all financial institutions whose account information is maintained on a given record keeping system maintain the cross-reference tables Table 1 and Table 2. In an alternative embodiment, only some financial institutions on a given record keeping system choose to not maintain the cross-reference between account holder and financial institutions and associated record keeping systems. While the record keeping systems or the financial institutions maintain the cross-reference between account holder and financial institutions and record keeping systems, the server 106 (Figure 1) would have a copy of the cross-reference table for routing requests. While maintenance of the cross-reference is performed by the record keeping system or the financial institution, however, the server 106 may also maintain the cross-reference table. For example, in an embodiment with a dynamic cross-reference table, the server 106 is constantly or periodically updates the cross-reference table.

Record Keeping System (Broadcast)	Financial Institutions
Fifth RKS	All Financial Institutions
Sixth RKS	All Financial Institutions
Seventh RKS	All Financial Institutions
Second RKS	TUV Fund Company, LMN Fund Company, and AAA Annuity Company

Table 3

The following appendices are hereby incorporated by reference:
Appendix A, entitled "Vision Mutual Fund Gateway Training Guides" and
Appendix B, entitled "Vision Mutual Fund Gateway External Funds Technical Manuals."

While the examples provided above have mutual fund companies as the financial institutions, the invention is applicable to other financial institutions such as those that deal with annuities, variable annuities, bank accounts, credit accounts, and bond funds.

While preferred embodiments have been shown and described, it will be understood that they are not intended to limit the disclosure, but rather it is intended to cover all modifications and alternative methods and apparatuses falling within the spirit and scope of the invention as defined in the appended claims or their equivalents.

WHAT IS CLAIMED IS:

1. A method of accessing substantially real-time financial information in a computerized system, the substantially real-time financial information being stored on a first record keeping system and a second record keeping system, the first record keeping system being different from the second record keeping system, comprising:
 - (a) receiving an account holder identification, the account holder identification being associated with a first account information stored on the first record keeping system and a second account information on the second record keeping system;
 - (b) transmitting first and second requests to the respective first and second record keeping systems, the first and second requests requesting information associated with the account holder identification; and
 - (c) receiving first and second responses from the respective first and second record keeping systems, the first and second responses including substantially real-time financial information associated with the account holder identification.
2. The method of claim 1 wherein (a) includes receiving the account holder identification, the account holder being associated with a first mutual fund account stored on the first record keeping system and a second mutual fund account on the second record keeping system.
3. The method of claim 1 wherein (b) includes transmitting the first and second requests based on a cross-reference of account holder identification to record keeping systems.
4. The method of claim 3 wherein (b) includes transmitting the first and second requests based on a dynamic cross-reference of account holder identification to record keeping systems.

5. The method of claim 4 wherein (c) further includes updating the cross-reference of account holder identification to record keeping systems based on the first and second responses.
6. The method of claim 1 wherein (b) includes transmitting the first request based on a cross-reference of account holder identification to record keeping systems and transmitting the second request based on a list of record keeping systems known to be absent from the cross-reference.
7. The method of claim 1 wherein (b) includes transmitting the first and second requests based on a list of record keeping systems.
8. The method of claim 1 wherein (b) includes transmitting the first request to the first record keeping system that stores account information in a first format and the second record keeping system that stores account information in a second format, the first format being different from the second format.
9. The method of claim 1 wherein (b) includes transmitting the first request to the first record keeping system that stores account information in a first format and the second record keeping system that stores account information in a second format, the first record keeping system being operated by a different entity than second record keeping system.
10. The method of claim 1 wherein (b) includes transmitting the first action requesting a status of the first and second financial account.
11. The method of claim 1 further including (e) presenting the first and second portions of the respective first and second response substantially simultaneously.
12. The method of claim 1 wherein (a) includes receiving a first user identification and (b) includes transmitting a second user identifications

with the first request, the first user identification being different from the second user identification.

- 5 13. A method of accessing substantially real-time financial information from a plurality of substantially record keeping systems in a computerized system, comprising:

(a) receiving a first input, the first input being associated with a first financial account residing on the first record keeping system and a second financial account on a second substantially real-time record keeping system, the first record keeping system being different from the second record keeping system;

10 (b) transmitting a plurality of requests to the plurality of record keeping systems;

(c) receiving a response from each of the plurality of record keeping systems; and

15 (d) presenting a portion of at least one response to the user.

- 20 14. The method of claim 13 wherein (b) includes transmitting a plurality of requests based on a list of financial institutions and associated record keeping systems.

- 25 15. The method of claim 13 wherein (b) includes transmitting a plurality of requests based in part on a list of record keeping systems and based in part of a cross-reference list of record keeping systems and the account holder identification.

16. The method of claim 13 wherein (c) includes receiving an response indicating the record keeping system lacks account information associated with the account holder identification.

17. A computer program embodied on a computer-readable medium capable of presenting real-time financial account information to a user, comprising:
- (a) a security module capable of authenticating the user;
 - (b) a communication module capable of communicating with a plurality of record keeping systems, the plurality of record keeping systems each being capable of storing real-time financial accounts, each of the record keeping systems being different, the communication module being capable of transmitting requests for real-time financial account information to the record keeping systems and receiving responses from the record keeping systems; and
 - (c) a presentation module capable of presenting portions of the responses simultaneously.
18. The computer program of claim 17 wherein the communication module transmits a first set of requests to a first group of record keeping systems based on a cross-reference between the record keeping system and the account holder identification, and transmits a second set of requests to a second group of record keeping systems based on the list of record keeping systems.
19. The computer program of claim 17 wherein the communication module transmits a first set of requests to a first group of record keeping systems based on a cross-reference between the record keeping system and the account holder identification, and transmits a second set of requests to a second group of record keeping systems based on the list of financial institutions and associated record keeping systems.
20. The computer program of claim 17 wherein the presentation module presents the portions of a first group of the plurality of responses simultaneously.

ABSTRACT OF THE DISCLOSURE

The present invention is defined by the following claims, and nothing in this section should be taken as a limitation on those claims. By way of introduction, the preferred embodiments describe below include a method of simultaneously presenting user specific real-time financial information includes authenticating a user, for example by using a user-id and password. Then receiving an input from the user indicating the shareholder of interest. The user is then presented with a list of the shareholder's account information. The shareholder account information can be retrieved from several different record keeping systems. The record keeping systems can be maintained by different entities and can store the respective account information in different formats. The shareholder account information can be retrieved by broadcasting an account inquiry to the record keeping systems or by using a cross-reference table that indicates which record keeping systems the shareholder has accounts with. A combination of the broadcast and cross-reference table can be used. Once the shareholder account information is presented, the user can select an account, for example by a hyperlink tag, and receive detailed information about that account.

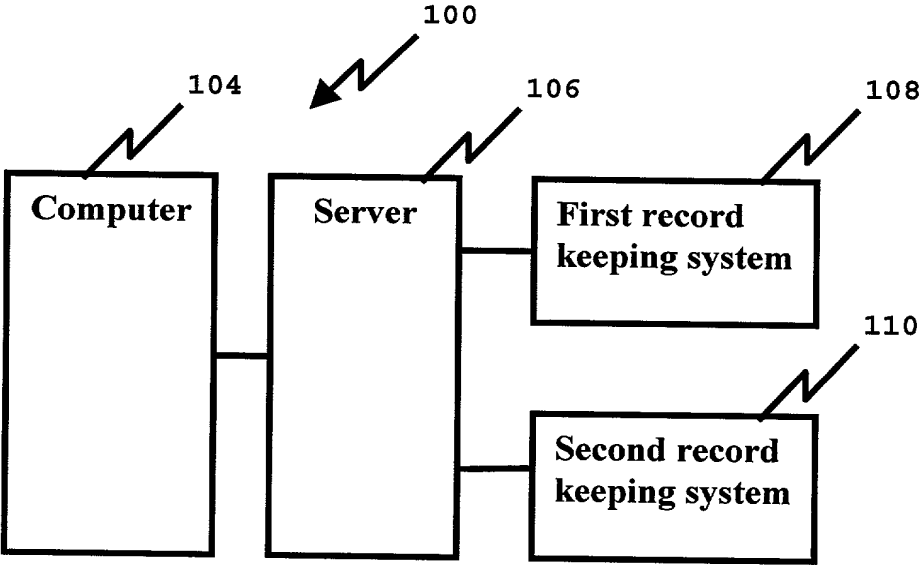


Figure 1

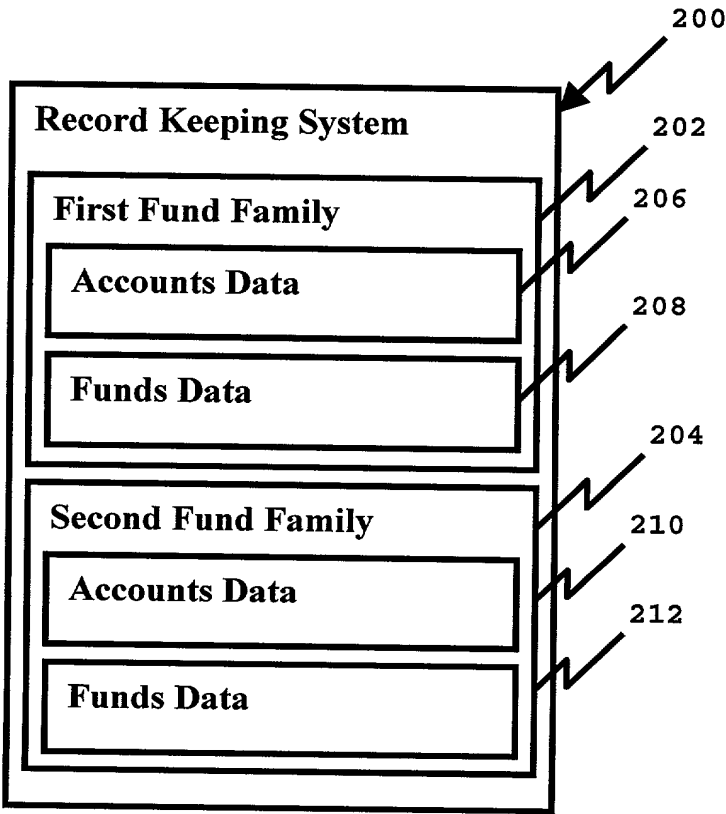


Figure 2

00475637 12309
660E2T 2E957460

300

302

304

306

Total Balance: \$405,210.00					
First Fund Company					
Account	Tax ID	Fund name	SH reg.	Shares	Balance
000111	123-45-6789	Growth	John Smith	400	\$150,111.00
000111	123-45-6789	Tech Fund	John Smith	100	\$ 50,111.00
				Total:	\$200,222.00
Second Fund Company					
Account	Tax ID	Fund name	SH reg.	Shares	Balance
999888	123-45-6789	Income Fund	Trust for John Smith	200	\$198,989.00
999888	123-45-6789	IRA Fund	John & Mary Smith	123	\$ 5,999.00
				Total:	\$204,988.00

Figure 3

660627 229460

Appendix A

Vision Mutual Fund Gateway Training Guides

PRINT OF DRAWINGS
AS ORIGINALLY FILED

Vision

Vision Mutual Fund Gateway®

Training Guide

Inquiry

November 1999

DST
SYSTEMS

**PRINT OF DRAWINGS
AS ORIGINALLY FILED**

The material is provided to you under a license agreement which restricts disclosure by you of this material. The material herein contains proprietary confidential information and trade secrets of substantial economic value to DST Systems, Inc. Any disclosure or dissemination of this information to persons or concerns not authorized by DST Systems, Inc. is strictly prohibited.

The names of companies, products, people, characters, and/or data mentioned herein are fictitious and are in no way intended to represent any real individual, company, product, or event, unless otherwise noted. DST Systems, Inc. reserves the right to revise this publication and to make changes to its content, at any time, without any obligation to notify any person or entity of such revisions or changes. This document is not a comprehensive technical reference guide and applies only to the version of the software stated herein.

All obligations of DST Systems, Inc. with respect to its systems, software, and services are described solely in written agreements between DST Systems, Inc. and its customers. This document does not constitute any amendment, interpretation, or other modification of any agreement between DST Systems, Inc. and any party.

DST SYSTEMS, INC. IS NOT EXTENDING ANY WARRANTIES OR MAKING ANY REPRESENTATIONS TO ITS CUSTOMER WITH RESPECT TO THE SERVICES OF ANY INTERNET SERVICES PROVIDER OR TO ANY OTHER PRODUCTS OR SERVICES USED OR INSTALLED IN CONJUNCTION WITH THE DST SYSTEMS, INC. SYSTEMS, SOFTWARE AND SERVICES. THE ONLY WARRANTIES AND REPRESENTATIONS THAT DST SYSTEMS, INC. IS MAKING TO ITS CUSTOMER WITH RESPECT TO THE PRODUCTS AND SERVICES OF DST SYSTEMS, INC. ARE THOSE EXPRESSLY STATED IN THE WRITTEN AGREEMENT BETWEEN DST SYSTEMS, INC. AND ITS CUSTOMER. EXCEPT AS SET FORTH THEREIN, ALL SYSTEMS, SOFTWARE, SERVICES, AND RELATED DOCUMENTATION ARE PROVIDED "AS-IS", AND DST SYSTEMS, INC. SPECIFICALLY DISCLAIMS ANY AND ALL REPRESENTATIONS AND WARRANTIES, EXPRESS OR IMPLIED, INCLUDING WITHOUT LIMITATION WARRANTIES OF MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE.

DST SYSTEMS, INC. SHALL NOT BE RESPONSIBLE AND SHALL HAVE NO LIABILITY FOR ANY ACTUAL, SPECIAL, INCIDENTAL, DIRECT, INDIRECT, PUNITIVE, EXEMPLARY OR CONSEQUENTIAL DAMAGES OR ANY DAMAGES WHATSOEVER ARISING OUT OF OR IN CONNECTION WITH IMPROPER INSTALLATION OF SOFTWARE OR FAILURE TO COMPLY WITH THE INSTRUCTIONS CONTAINED HEREIN, AND ANY LIABILITY OF DST SYSTEMS, INC. TO ITS CUSTOMER FOR OTHER DAMAGES OF ANY KIND OR FOR ANY OTHER THING OR MATTER SHALL BE LIMITED AS SET FORTH IN THE AGREEMENT BETWEEN DST SYSTEMS, INC. AND ITS CUSTOMER.

© 1999, DST Systems, Inc. All rights reserved.

TA2000 is a registered trademark of DST Systems, Inc. Other products and company names mentioned herein are the trademarks of their respective owners.

Vision Inquiry Training Guide
November 1999

DST Systems, Inc.
333 West 11th Street
Kansas City, MO 64105-1594
www.dstsystems.com

Printed in U.S.A.

SECRET 2254460

Contents

Introduction.....	7
What is Vision?	7
Vision Advantages	7
Using This Guide	8
Security on the Vision Web Site.....	8
Chapter 1: Accessing Vision Mutual Fund Gateway	11
Vision Sign On	11
Change Password	13
Vision Internet Agreement.....	16
Management Company Selection	16
Chapter 2: Getting Started.....	19
Management Company Menu.....	19
Chapter 3: Fund Information	23
Fund Information	23
Chapter 4: Net Asset Value Summary.....	29
Net Asset Value Summary	29
Chapter 5: Distribution Information	31
Distribution Information.....	31
Chapter 6: Order Information	35
Order Information	35

660667 2295460

Chapter 7:	Dealer Information	41
	Dealer Information	41
Chapter 8:	Account Summary by Representative/Advisor Information.....	47
	Account Summary by Rep/Advisor.....	47
Chapter 9:	Searching by Dealer Account (BIN)	51
	Account Search by Dealer Account	51
Chapter 10:	Searching by Fund and Account.....	55
	Account Search by Fund and Account.....	55
Chapter 11:	Searching by Shareholder Name.....	59
	Account Search by Shareholder Name.....	59
Chapter 12:	Searching by Tax ID or Social Security Number	63
	Account Search by Tax ID/SSN	63
Chapter 13:	Searching by Representative or Advisor	67
	Account Search by Rep/Advisor	67
Chapter 14:	Shareholder Account Information.....	71
	Shareholder Account Information	72
Chapter 15:	Account Options	79
	Additional Mail.....	80
	Average Cost	82
	Bank Instructions	86
	Certificates	88
	Dividend Reinvestment	90
	Fiduciary Information	93
	Pending Trades	97
	Rights of Accumulation.....	99
	Systematic Agreements	102

660627 2295460

Systematic Exchange.....	105
Chapter 16: Additional Account Information.....	109
Account Maintenance History	110
Shareholder Account History.....	113
CDSC Hypothetical Calculation	116
Year End Summary.....	120
Index	129

650327 2837450

660627-263460

Introduction

What is Vision?

DST's Vision Mutual Fund Gateway is an interactive Web site, located at <http://www.dstvision.com> (<http://www.dstvision128.com>) that allows financial intermediaries such as broker/dealers and financial advisors, the ability to access fund, shareowner account, and dealer information in a real-time environment through the Internet. Information such as shareowner positions, account options, transaction histories, fund pricing and yields are some of the features available through Vision.

Such information includes:

- fund information
- net asset value summaries
- distribution information
- order information
- dealer, branch, and representative asset information
- account summaries by representative or advisor number

Vision Inquiry also enables financial intermediaries to access account information by:

- dealer account number
- fund account number
- shareholder name
- tax identification number or Social Security number
- representative or advisor number.

Vision Advantages

Vision was designed and developed specifically for the financial intermediary. We have focused on providing the financial professional with a truly friendly product that will make a tremendous impact on daily operations efficiency.

Vision provides:

- single logon access for all authorized fund groups
- real-time, up-to-date fund and shareholder account information

- transaction processing
- new account establishment
- intranet and extranet access

Other Information About Vision

The Training material contained in this manual will supplement the online help that is part of the Vision Web site. You may access this help material by clicking on the Help link at the bottom of any Vision window. The help information is displayed in a separate frame. Close the help frame to move back to the Vision content.

Transaction and New Account Establishment

For information about the transaction features of Vision Mutual Fund Gateway, refer to the Vision Transaction Training Guide. For information about the new account establishment features of Vision Mutual Fund Gateway, refer to the New Account Establishment Training Guide.

Using This Guide

The Vision Inquiry Training Guide is composed of the following sections:

- Chapter 1: Explains how to log on to the Vision Mutual Fund Gateway Internet site, change your password, or select a fund management company.
- Chapters 2-16: Describes how to use the Inquiry features of Vision Mutual Fund Gateway.

Each chapter includes the following information:

- **Vision windows**—Images of each Vision window.
- **Overview**—A high-level description of the information displayed on each window.
- **Procedures**—The steps that must be completed on the window before continuing to the next window.
- **Entry Field Definitions**—The name and descriptions of all fields that require entry or selection of information.
- **Display Field Definitions**—The name and description of fields that display information.
- **Link Definitions**—Describes hyperlinks to other windows within Vision.

Security on the Vision Web Site

Vision is secured by operator ID and password. All Vision users will be issued a Vision ID and password. Sharing an ID is not recommended. When the password expires or is invalid, the user will be prompted for a new or valid password.

NOTES

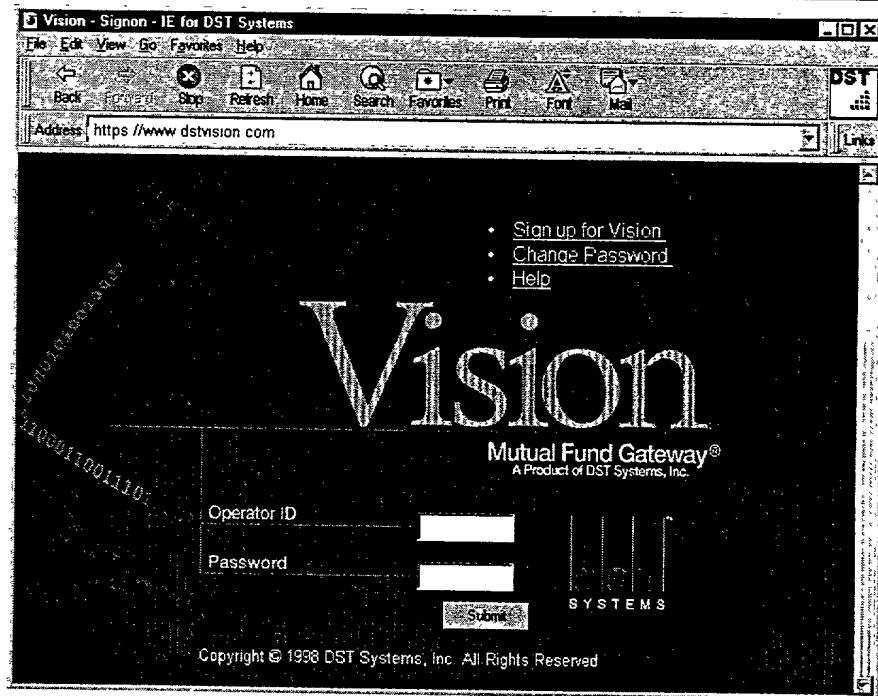
660627 26332460

Chapter 1:

Accessing Vision Mutual Fund Gateway

Vision may be accessed by typing <http://www.dstvision.com> into the address box of your browser. If the fund requires 128-bit encryption, type <http://www.dstvision128.com>.

Note: Some funds require 128-bit encryption.



Sign On window

Vision Sign On

Overview

The Vision Sign-On window enables you to sign on to the system.

Note: All you need to use Vision is an Internet browser. Vision supports the latest versions of Microsoft Internet Explorer and Netscape Navigator/Communicator browsers. A monitor resolution of 800x600 is recommended.

Procedures

1. Type your alphanumeric ID in the Operator ID field.
2. Type your password in the Password field.
3. Click **Submit**.

The Vision Mutual Fund Gateway Internet Agreement displays.

Entry Field Definitions

Operator ID

Vision is secured by operator ID, which can be restricted at the dealer, dealer/branch, or dealer/representative level or by tax ID. The type of security associated with your Operator ID will affect the account information displayed on Vision windows. Your ID is assigned by the Vision Group ID and will be from four to eight alphanumeric characters long. To obtain an ID, go to the Vision enrollment Web site at <http://www.dstvisioninfo.com> and complete the online enrollment form. If the ID is not used within seven days of being assigned, or if there is no activity on the ID for 60 days, the ID will be disabled. To reset your ID, contact the DST Help Desk at (800) 228-3574.

Password

Your password must be a minimum of seven and a maximum of eight characters long. The password must contain at least one non-alpha, non-numeric character from the following list: !@#%_&*()-/?_+=/. The password will appear as a series of asterisks. After three incorrect attempts to enter your password, your operator ID will be disabled. To obtain an initial password for your operator ID, contact the Vision group at (816) 843-6712. To reset your password, contact the DST Help Desk at (800) 228-3574.

Note: If your ID is reset, your password will default to the initial password assigned by the Vision Group.

Link Definitions

Sign Up for Vision

The Vision enrollment Web site contains information about the features and benefits of Vision as well as the required forms to enroll in Vision or to add funds to your existing access.

Change Password

The Change Password window allows you to change your Vision password.

Help

All Vision Help windows open a new iteration of your browser. Please close the Help frame to return to Vision. This link appears on every page of the Vision Web Site.

Change Password

The screenshot shows a web browser window with the address bar displaying a URL. The page title is "Vision® Change Password". The form contains the following fields and labels:

- Operator ID** (text input)
- Re-enter your Vision operator ID** (text input)
- Password** (text input)
- Re-enter your Current Vision Password** (text input)

Below these fields is a note: "The new password must be a minimum of 7 and a maximum of 8 characters long and must contain at least one character from the following list: !@#% & * 0-9 - +".

Further down are two more text input fields:

- Change Password** (text input)
- Enter your New Password** (text input)
- Verify Password** (text input)
- Re-enter your New Password** (text input)

At the bottom of the form are two buttons: **Submit** and **Help**. The footer of the page reads "Copyright © 1999 DST Systems Inc. All rights Reserved."

Overview

The Change Password window enables you to change your current password. This window should also be used when your password has been reset.

Procedures

1. Type your alphanumeric ID in the Operator ID field.
2. Type your current password in the Password field. If your Vision sign-on ID is disabled, contact the DST Help Desk at (800) 228-3574 to reset your sign-on ID and password.
3. Type your new password in the Change Password field. The password must be a minimum of seven characters and a maximum of eight characters long and must contain at least one non-alpha, non-numeric character from the following list: ! @ # % _ & * () - / ? = + .
4. Type your new password a second time in the Verify Password field.
5. Click **Submit**.


Note: Type your new password exactly as you typed it in the Change Password field. If you do not verify your password correctly, an error message will result. Use your browser's **Back** button to attempt to change the password again.

Your password will be updated and the Vision Agreement displays.

060627 2203/460

3 Vision - Disclaimer - Microsoft Internet Explorer

File Edit View Favorites Tools Help

 **Vision®**
Agreement

(Please review the terms and conditions of the Vision agreement. To continue, scroll to the end of the agreement and click on "I agree".)

Copyright © 1996, 1997, 1998, 1999, DST Systems, Inc. ("DST"). All rights reserved.

BY USING VISION MUTUAL FUND GATEWAY® ("VISION®"), YOU AGREE TO THE LEGAL TERMS AND CONDITIONS AS FOLLOWS:

The computer system, procedures, databases, and programs created and maintained by DST contain proprietary confidential information and trade secrets of substantial economic value to DST. Any unauthorized use, misuse, or disclosure of such items or information is strictly prohibited and may result in civil liabilities and criminal penalties under applicable law. Vision® and Vision Mutual Fund Gateway® are service marks of DST, and no license, assignment, or permission is granted herein, expressly, implicitly, by estoppel or otherwise to use them, or to use any of the marks affixed to the databases accessed via Vision®.

NEITHER DST NOR THE AFFECTED MUTUAL FUND OR INVESTMENT COMPANY MAKE ANY REPRESENTATIONS AND HEREBY EXCLUDE ANY WARRANTY, EXPRESS OR IMPLIED, ABOUT THE ACCURACY, COMPLETENESS, TIMELINESS OR SUITABILITY FOR ANY PURPOSE OF THE INFORMATION ACCESSIBLE VIA VISION®, OR ABOUT THE PERFORMANCE OR AVAILABILITY OF VISION® OR ANY DATABASES ACCESSIBLE THROUGH VISION®. ALL SUCH INFORMATION, VISION® AND ACCESSIBLE DATABASES ARE PROVIDED OR MADE AVAILABLE "AS IS," TO THE EXTENT ALLOWED BY APPLICABLE LAW. DST AND THE AFFECTED MUTUAL FUND OR INVESTMENT COMPANY HEREBY DISCLAIM ALL WARRANTIES AND CONDITIONS WITH REGARD TO SUCH INFORMATION, VISION®, AND ACCESSIBLE DATABASES, INCLUDING WITHOUT LIMITATION, ALL IMPLIED WARRANTIES AND CONDITIONS OF MERCHANTABILITY, FITNESS FOR A PARTICULAR PURPOSE AND NON-INFRINGEMENT.

IN NO EVENT SHALL DST, THE AFFECTED MUTUAL FUND, THE AFFECTED INVESTMENT COMPANY OR THEIR AFFILIATES BE LIABLE FOR ANY ACTUAL, SPECIAL, INCIDENTAL, DIRECT, INDIRECT, PUNITIVE, EXEMPLARY OR CONSEQUENTIAL DAMAGES OR ANY DAMAGES WHATSOEVER ARISING OUT OF OR IN CONNECTION WITH THE USE OF VISION®, EFFECTING TRANSACTIONS VIA VISION®, THE INFORMATION ACCESSIBLE VIA VISION®, OR THE RELIANCE THEREON, INCLUDING WITHOUT LIMITATION, DAMAGES ARISING FROM THE LOSS OF PROFITS, MISINFORMATION OR THE RISKS OF THE STOCK MARKET.

Neither you nor any user of Vision® is a third-party beneficiary to any agreement to which DST or its affiliates is a party, including without limitation, any agreements between DST or its affiliates and a mutual fund or investment company.

Neither DST nor the affected mutual fund or investment company shall be responsible for, and you shall hold DST and the affected mutual fund, affected investment company or their affiliates harmless from and against and indemnify DST and the affected mutual fund or affected investment company for any and all expenses, losses, damages, charges, counsel fees, payments and liability which may be asserted against DST and the affected mutual fund, affected investment company, or its affiliates or for which DST and the affected mutual fund, affected investment company or its affiliates may be liable arising out of or attributable to your failure to comply with the legal terms and conditions set forth in Vision® or to your negligence in using Vision® or in using or distributing information accessed via Vision®.

The accuracy, completeness and timeliness of all mutual fund or investment vehicle information provided via Vision® is the sole responsibility of the mutual fund or investment company. The information is not intended to satisfy any compliance or regulatory conditions set forth by any governing body of the securities industry. You or any user is responsible for verifying the accuracy of transactions entered and information as received.

As a provider of financial services or a plan sponsor, you agree that quoted rates and yields for the mutual funds or investment vehicles about which information is accessible via Vision® reflect past performance, and do not necessarily indicate future results, and that shares of the mutual funds or investment vehicles described or referred to are not deposits or obligations of, or guaranteed or insured by, any bank, the Federal Deposit Insurance Corporation, the Federal Reserve Board, or any other agency, are subject to risk, including possible loss of principal, and will fluctuate in value. All financial determinations, including without limitation suitability determinations, are your responsibility, and not that of DST or the mutual funds, investment companies or their affiliates.

In using the accessed information, you agree to abide by all laws and regulations governing your industry or business, including without limitation the requirement that you not distribute the accessed information to prospective investors unless it is preceded or accompanied by current prospectuses of the funds or investments being offered. You agree not to alter or modify in any way the accessed information or parts or copies of it.

You represent and warrant to DST, the affected mutual fund, the affected investment company and their affiliates that each on-line transaction requested by you, or any information obtained by you, via Vision®, is rightful and authorized by the shareholder or participant whose mutual fund account or plan account is affected by a particular transaction or information request. You further acknowledge that this agreement is intended to be, and is, permissive on the part of DST and the mutual funds or investment companies and not mandatory. DST and the affected mutual fund or investment company may require partial or full documentation before effecting any transaction whenever DST or the affected mutual fund or investment company, in their sole discretion, deem obtaining such documentation to be appropriate or desirable and shall not be liable for any loss due to a delay resulting from such request.

DST authorizes you to access only information about a mutual fund or investment company, or certain accounts in the fund or plan, if you have the agreement of the mutual fund or investment company allowing such access. You will make no deliberate attempt to access any information which you do not have permission to access. If you discover that you have access to information you do not have authority to access, you agree to immediately terminate such access and inform DST at 800-435-4112. Although each mutual fund or investment company controls access to information about its fund, investments, accounts, or plans, DST, as provider of Vision®, or the affected mutual fund or investment company, may deny any user access without prior notice whenever either DST or the affected mutual fund or investment company, in their sole discretion deem it necessary.

☐ I AGREE

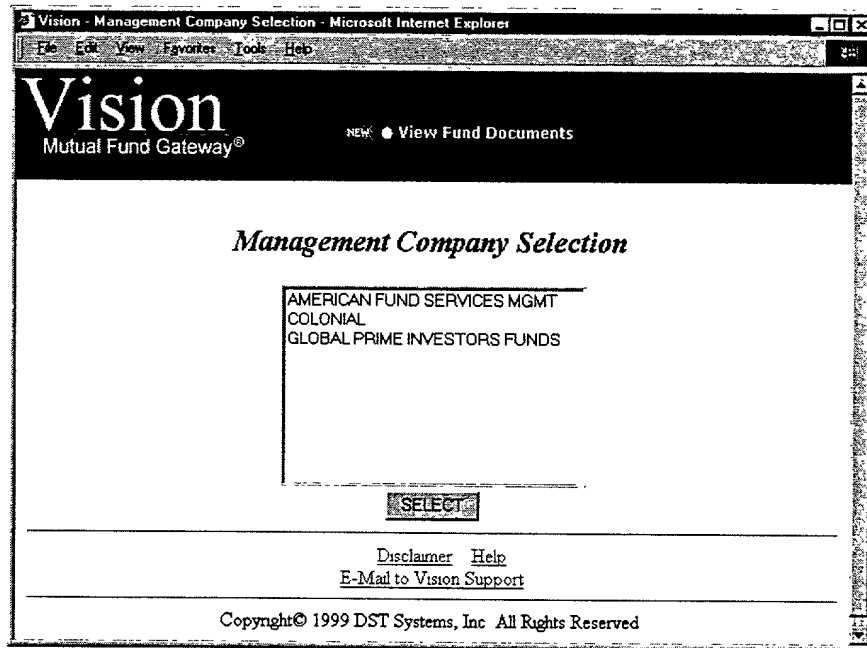
Vision Disclaimer window

Vision Internet Agreement

Procedures

The Vision Mutual Fund Gateway Internet Agreement appears the first time you log on and will appear every 150 days subsequently for each operator ID. Click **I Agree** once you have read the agreement. The Management Company Selection window displays.

Management Company Selection



Vision Management Company Selection window

Overview

The Management Company Selection window enables you to select from a list of fund management companies that use Vision Mutual Fund Gateway.

Procedures

1. Highlight the name of the management company in the list box.

Note: Vision will list only management companies for which you have access. To scroll through the list, click the up or down arrow button.

2. Click **Select**. The Management Company Menu displays.

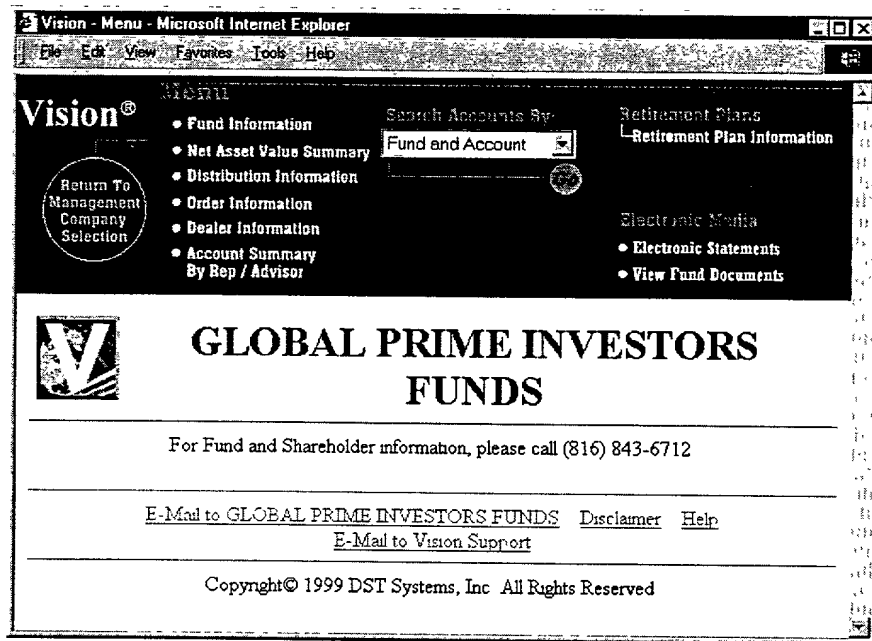
Note: To add additional fund management companies to your current access, click the Sign up for Vision hyperlink on the initial Vision Sign-on window to go to the Vision enrollment Web site. Complete the Additional Funds Request form. Send or fax the form to the Vision group. To go directly to the enrollment site, access <http://www.dstvisioninfo.com>.

660627 28332450

0947337-43098
660227-2632450

Chapter 2:

Getting Started



Vision Menu window

Management Company Menu

Overview

The Management Company Menu window provides options for accessing detailed information about the management company.

Procedures

Click on the desired information topic. The selected window will appear.

Link Definitions

Return to Management Company Selection

Returns you to the Management Company Selection window.

Fund Information

Displays a specific fund's net asset value (NAV), daily dividend rate, yields, total returns, average maturity, redemption charge, and exchange charge for a specified date. The most current information will be displayed unless a specific date is requested.

Net Asset Value Summary

Displays the net asset value (NAV) for each fund within the mutual fund family. The most current information will be displayed unless a specific date is requested.

Distribution Information

Displays a specific fund's dividend and capital gain information (including a record date, dividend and capital gain rate and price, reinvestment price and payable and reinvestment date).

Order Information

Displays specific fund order information (including dealer registration, gross amount, trade price, shares, NAV, dealer net amount, trade date, and sales charge). Order information can be retrieved by entering an order number or an NSCC Fund/Serv control number.

Dealer Information

Displays dealer summary information at the dealer or dealer/branch level. Dealer information includes the dealer's registration, total assets, number of open and closed accounts, total accounts by matrix level, order summary information, and fund level assets.

Account Summary by Rep/Advisor

Displays representative-level account summary information (including fund number, number of open accounts by fund, share volume by fund, assets by fund, and totals).

Search Accounts By

Dealer Account (BIN)

Enables you to retrieve shareholder account information by dealer account number within a specific fund or across all funds in a family of funds.

Fund and Account

Enables you to retrieve shareholder account information by fund account number within a specific fund or across all funds in a family of funds.

Shareholder Name

Enables you to retrieve shareholder account information by shareholder name within a specific fund or across all funds in a family of funds.

Tax ID/SSN

Enables you to retrieve shareholder account information by shareholder tax ID or social security number within a specific fund or across all funds in a family of funds.

Rep/Advisor

Enables you to retrieve shareholder account information by representative or advisor number within a specific fund or across all funds in a family of funds. You can retrieve and sort accounts by the following criteria:

- tax ID number and ZIP code
- cumulative discount number and ZIP code
- fund number and account number
- alphabetically by shareholder name

Retirement Plans

Retirement Plan Information

(appears only if the management company supports this option)

This new feature on the Vision Menu provides access to information about defined contribution plans including:

- plan assets and year-to-date contributions
- price and yield information
- summary of plan participants
- loan and withdrawal information by participant

Electronic Media

Electronic Statements

(appears only if the management company supports this option)

Vision users can access, view and print electronic statements that correspond in look, content and format to paper statements. You can search for electronic statements by tax ID/SSN, Rep/Advisor or Shareholder Name. Once you locate

the transaction, click the hyperlink to view, download or print an electronic statement including management company information, a portfolio summary, recommended portfolio allocation, earnings summary and year-to-date contributions.

View Fund Documents

(appears only if the management company supports this option)

This feature allows the Vision client to access electronic images of prospectuses, fact sheets and other fund documents. The documents are searchable by SKU (stock-keeping unit), description or document type. Click **Item Image** to view, download and print the document displayed in the Search Results window.

E-Mail to Fund

E-Mail to Fund Hyperlink

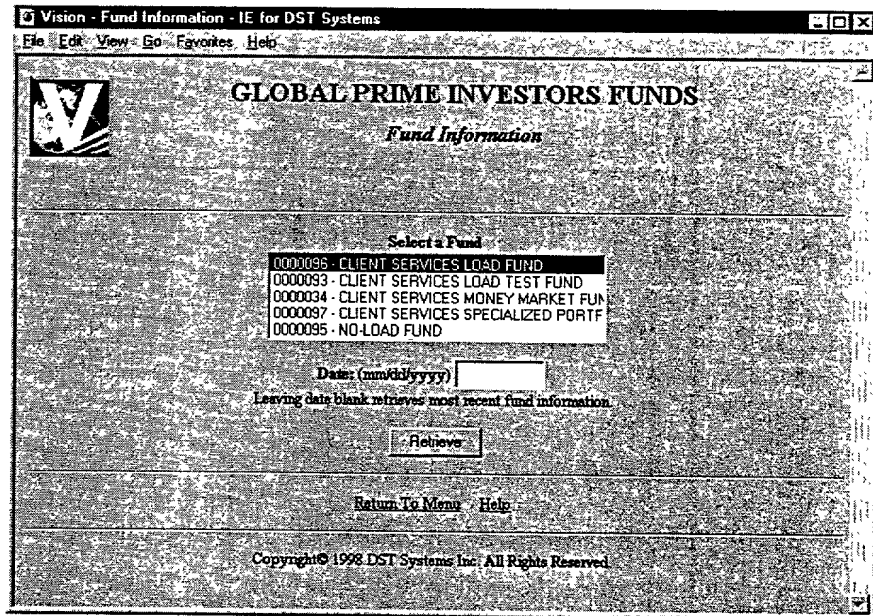
(appears only if the management company supports this option)

A hyperlink near the bottom of the Vision Menu opens a window that allows you to e-mail questions and comments directly to the fund management company. The Comments field is required. Add your name, phone number or e-mail address or call the fund company if you would like a response.

650227 2632460

Chapter 3:

Fund Information



Fund Information window

Fund Information

Overview

The Fund Information window displays a fund's net asset value (NAV), daily dividend rate, yields, average maturity, redemption charge, and exchange charge for a specified date.

Procedures

1. Highlight the desired fund from the Select a Fund list box.
2. Type the date for which you want fund information. If you do not type a date, the most recent information will be retrieved. If you enter a non-business day (Saturday, Sunday, or a holiday) the previous business day's information will be retrieved.
3. Click the Select button. General fund information will be displayed.

Entry Field Definitions

Date

Indicates the pricing date for which fund information is retrieved. The date must be entered in mm/dd/yyyy format. For example, to specify the date February 16, 1998, type "02/16/1998". If no date or a non-business day is entered, the most recent valid business day's information will be retrieved.


Retrieve Previous Date

When selected, this check box will cause the prior day's information to be retrieved.

660E2T" / 660E2450

VISION - Fund Information - Microsoft Internet Explorer

File Edit View Favorites Tools Help



GLOBAL PRIME INVESTORS FUNDS

Fund Information

Ticker - CSLD

CLIENT SERVICES LOAD FUND
CUSIP - 531545101

Fund Code - 96

Rate/quotations as of: 06/17/1999

NAV: \$55.6100

Daily Dividend Rate: 0.001234567

Average Maturity (days): 0

Redemption/Exchange charge(s) may apply

NOTE: Past performance is not indicative of future results.

Yields

Daily

Current 7-day

Effective 7-day

30 day

Annual

As of Date

Discount Category

Breakpoint Levels	Sales Commission	Dealer Concession	Price	Discount Category
999,999.99	50.000%	40.000%	\$111.2200	01
999,999,999,999.99	50.000%	40.000%	\$111.2200	05
9,999,999,999,999.99	0.000%	0.000%	\$55.6100	99

Select a Fund

0000096 - CLIENT SERVICES LOAD FUND

0000093 - CLIENT SERVICES LOAD TEST FUND

0000034 - CLIENT SERVICES MONEY MARKET FUND

0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS

0000095 - NO-LOAD FUND

Date: (mm/dd/yyyy) 06/17/1999

Leaving date blank retrieves most recent fund information.

☐ Retrieve previous date

[Return to Menu](#)
[Disclaimer](#)
[Help](#)

E-Mail to: Vision Support

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Fund Information window

0047537 2E952460

Display Field Definitions

(Listed in window order.)

NAV

Displays the Net Asset Value. The Net Asset Value is the dollar value of one share of the fund as determined by the formula (total assets - total liabilities)/total shares outstanding.

Daily Dividend Rate

Displays the daily dividend rate for the fund and date specified (applicable for daily dividend funds only).

Average Maturity (days)

Displays the average time before the debt securities held by the fund will mature.

Redemption Charge

Displays the dollar amount or percentage if the fund has a charge to redeem shares.

Exchange Charge

Displays the dollar amount of the charge if the fund charges shareholders to exchange into another fund.

Daily (yield)

Displays the daily yield by the fund for the date displayed.

Current 7-Day (yield)

Displays the current seven-day yield average, as defined by the fund. The current seven-day yield average describes past performance of the fund and does not guarantee future results.

Effective 7-Day (yield)

Displays the effective seven-day yield average, as defined by the fund. The effective seven-day yield average describes past performance of the fund and does not guarantee future results.

30 Day (yield)

Displays the 30-day yield average, as defined by the fund. The 30-day yield average describes past performance of the fund and does not guarantee future results.

Annual (yield)

Displays the annual yield average, as defined by the fund. The annual yield average describes past performance of the fund and does not guarantee future results.

Breakpoint Levels

Displays the purchase amount cut-off at which shareholders will be given discounts on the sales charge paid on new shares purchased. As the breakpoint amount increases, the sales charge associated with the price decreases.

Sales Commission

Displays the total fee paid to a broker for executing a trade based on the number of shares traded or dollar amount of the trade.

Dealer Concession

Displays the portion of the sales charge retained by the mutual fund underwriter when processing purchase transactions.

Price

Displays the breakpoint value of one share of a mutual fund on any given date.

Discount Category

Displays the number assigned to each breakpoint amount.

660627 22952460

NOTES

094737 2692460

Chapter 4:

Net Asset Value Summary

Fund Code	Fund Name	NAV	As of
0000096	CLIENT SERVICES LOAD FUND	\$36.0000	02/12/1999
0000093	CLIENT SERVICES LOAD TEST FUND	\$1.1900	02/12/1999
0000034	CLIENT SERVICES MONEY MARKET FUND	\$19.1000	02/12/1999
0000097	CLIENT SERVICES SPECIALIZED PORTFOLIOS	\$10.3900	02/12/1999
0000095	NO-LOAD FUND	\$1.0200	02/12/1999

Date: (mm/dd/yyyy) 02/12/1999
Leaving date blank retrieves most recent fund information.

☐ Retrieve previous date

Retrieve

Return To Menu Help

Net Asset Value Summary window

Net Asset Value Summary

Overview

The Net Asset Value Summary window displays NAV information for each fund in the fund company. Information for the current date is initially displayed by default.

Procedures

To view information for a different date, complete the following steps:

1. Type the desired date in the Date field or select the Retrieve Previous Date check box.
2. Click the Retrieve push button.

Information for the requested date will be displayed.

Entry Field Definitions

Date

Indicates the date for which net asset value information is displayed. The date must be entered in mm/dd/yyyy format. For example, to specify the date February 16, 1998, type 02/16/1998. If no date or a non-business date is entered, the most recent information will be displayed.

Retrieve Previous Date

When selected, this check box will cause the prior day's information to be retrieved.

Display Field Definitions

(Listed in window order.)

DST Fund Code

Displays the numeric code used to identify a fund on TA2000®.

Fund Name

Displays the full name of the fund.

NAV

Displays the dollar value of one share of the fund as determined by the formula (total assets - total liabilities)/total shares outstanding.

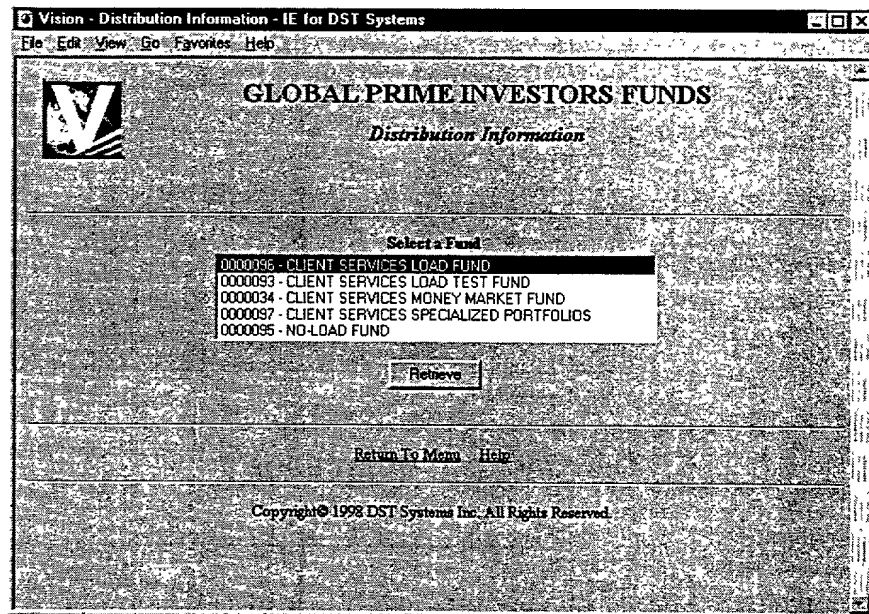
As Of

Displays the date on which the net asset value per share was calculated.

650627 2632460

Chapter 5:

Distribution Information



Distribution Information window

Distribution Information

Overview

The Distribution Information window displays a specific fund's dividend and capital gain information.

Procedures

1. Highlight the desired fund from the Select a Fund list box.
2. Click the Retrieve push button.

All distribution information for the specified fund will be displayed — most recent record date is first.

Vision - Distribution Information - IE for DST Systems

GLOBAL PRIME INVESTORS FUNDS

Distribution Information

CLIENT SERVICES LOAD FUND

Ticker: CSLD CUSIP: 531545101 Fund Code: 96

Record Date	Short Term Rate	Short Term Reinvest Price	Long Term Rate	Long Term Reinvest Price	Dividend Rate	Dividend Reinvest Price	Payable Date	Reinvest Date
02/10/1999	0.000000000	\$0.0000	0.000000000	\$0.0000	0.000000000	\$36.0000	02/10/1999	02/10/1999
02/08/1999	0.000000000	\$1.0000	0.000000000	\$0.0000	0.000000000	\$36.0000	02/08/1999	02/08/1999
02/05/1999	0.000000000	\$0.0000	0.000000000	\$0.0000	0.000000000	\$36.0000	02/05/1999	02/05/1999
02/03/1999	0.000000000	\$0.0000	0.000000000	\$0.0000	0.000000000	\$36.0000	02/03/1999	02/03/1999
01/29/1999	0.000000000	\$0.0000	0.000000000	\$0.0000	0.000000000	\$36.0000	01/29/1999	01/29/1999
01/14/1999	0.000000000	\$0.0000	0.000000000	\$0.0000	0.000000000	\$36.0000	01/14/1999	01/14/1999
01/11/1999	0.000000000	\$0.0000	0.000000000	\$0.0000	0.000000000	\$36.0000	01/11/1999	01/11/1999
01/07/1999	0.000000000	\$0.0000	0.000000000	\$0.0000	0.000000000	\$36.0000	01/07/1999	01/07/1999
01/05/1999	0.000000000	\$0.0000	0.000000000	\$0.0000	0.000000000	\$36.0000	01/05/1999	01/05/1999
08/31/1998	0.000000000	\$0.0000	0.000000000	\$0.0000	0.000000000	\$35.9900	08/31/1998	08/28/1998
12/11/1997	0.000000000	\$25.9900	0.000000000	\$25.9900	0.000000000	\$35.9900	12/12/1997	12/12/1997
12/01/1997	0.000000000	\$0.0000	0.000000000	\$0.0000	0.000000000	\$0.0000	12/01/1997	12/01/1997
07/17/1997	0.000000000	\$0.0000	0.000000000	\$0.0000	0.000000000	\$25.7200	07/17/1997	07/17/1997
07/15/1997	0.000000000	\$0.0000	0.000000000	\$0.0000	0.000000000	\$0.0000	07/15/1997	07/15/1997
07/14/1997	0.000000000	\$0.0000	0.000000000	\$0.0000	0.000000000	\$25.7200	07/14/1997	07/14/1997

Distribution Information window

Display Field Definitions

(Listed in window order.)

Record Date

Displays the date on which a fund's distributions were recorded.

Short-Term Rate

Displays the dollar amount of the short-term capital gains that are paid per share.

Short-Term Reinvest Price

Displays the price per share at which short-term capital gains are reinvested.

Long-Term Rate

Displays the dollar amount of the long-term capital gains that are paid per share.

Long-Term Reinvest Price

Displays the price per share at which long-term capital gains are reinvested.

Dividend Rate

Displays the dollar amount of the dividend distribution to be paid per share.

Dividend Reinvest Price

Displays the price per share for dividends to be reinvested.

Payable Date

Displays the date on which a distribution is made payable to shareholders.

Reinvest Date

Displays the reinvest date of the distribution. This date is used to determine the reinvestment price.

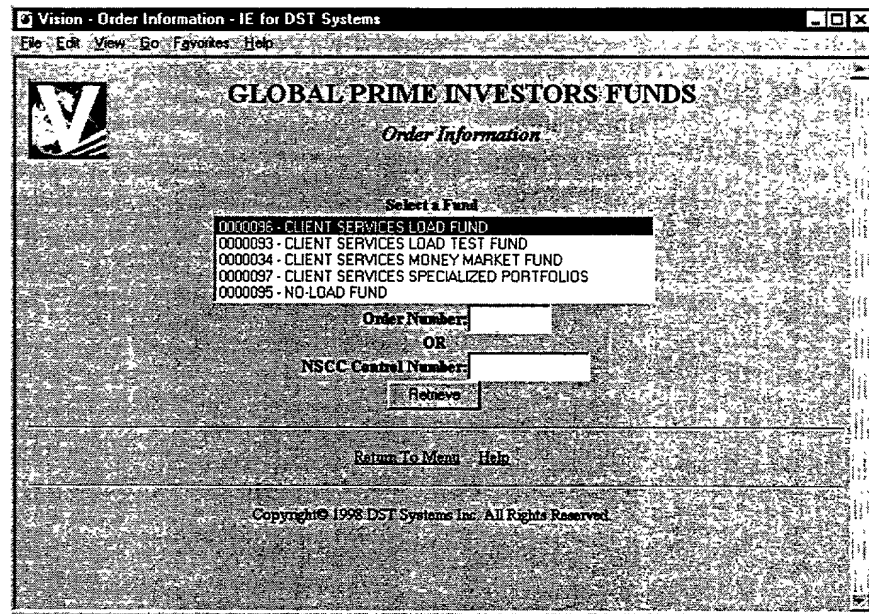
0947537-123099
650327-28332460

NOTES

0947537-124090
650E27-2E952460

Chapter 6:

Order Information



Order Information window

Order Information

Overview

The Order Information window displays price, share, date, dividend, capital gain, and summary information for an order.

Procedures

To select an order, complete one of the following fields:

- Select appropriate fund from the Select a Fund field.
- To retrieve information by order number, type the fund order number in the Order Number field.
- To retrieve information by control number, type the NSCC control number in the NSCC Control Number field.

1. Click the Retrieve push button.

Information for the requested order will be displayed.

GLOBAL PRIME INVESTORS FUNDS		
Order Information		
CLIENT SERVICES LOAD FUND		
Ticker: CSEL	CUSIP: 331545101	Fund Code: 96
Order Number: 000012245	Dealer/Branch: 0000100000	
NSCC Control Number: 000012245	ARTIE BROKERAGE	
Transaction: REGULAR PURCHASE	N24 DISNEY ROAD	
Status: Sale	KANSAS CITY, KS 66101	
Trans Code/Suffix: 001000	64105	
Order Price: \$33.00	Confirmation: 11/09/1994	
Shares: 1.0000	Processed: 11/09/1994	
Trade NAV: \$33.00	Trade: 11/09/1994	
Dealer Net: \$33.00	Payment:	
Discount Category: 01		
Income Dividend Amount: \$0.00	Fund Type: Load	
Income Dividend Shares: 0.1310	Account: 22222	
Stock Dividend Shares: 0.0000	Alpha Code: LILLAMARVE	
Capital Gain Amount: \$0.00	LOI Number: 00000000	
Capital Gain Shares: 0.0510	Management Code: CS	

Order Information window

Entry Field Definitions

Order Number

A valid order number or NSCC control number is required. If you do not know the order number or NSCC control number, contact your mutual fund representative.

NSCC Control Number

A valid order number or NSCC control number is required. If you do not know the order number or NSCC control number, contact your mutual fund representative.

Display Field Definitions

(Listed in window order)

Transaction

Displays the description for the type of transaction entered.

Status

Displays the status of the transaction.

Tran Code/Suffix

Displays the transaction code and suffix. The transaction code and suffix are assigned by the fund to define the specific transaction type for the transaction.

Dealer/Branch

Displays the dealer number and branch number used by the fund company for dealer and branch identification.

Gross

Displays the gross dollar amount of the purchase or redemption trade.

Price

Displays the price per share that corresponds to the transaction record.

Shares

Displays the number of shares corresponding to the order.

Trade NAV

Displays the net asset value dollar amount of the trade. This dollar amount equals the total number of shares in the trade multiplied by the net asset value (NAV) as of the trade date.

Dealer Net

For purchases, displays the total net dollar amount due from the dealer or the shareholder. **For load funds**, displays the gross dollar amount less the dealer commission amount. **For redemptions**, displays the total net proceeds due to the dealer or the shareholder.

Discount Category

Displays the price break a shareholder will receive on new shares purchased.

660327 26932460

Confirmation

Displays the month, day, and year on which the trade was processed.

Processed

Displays either the date the trade was processed to a shareholder's account or the date the trade was deleted from the Fail/Free File.

Trade

Displays the trade date that the operator assigned to the transaction. This date is the effective date of the transaction and may or may not be equal to the confirmation date. For financial transactions, this is the date used to determine the share price on the day the transaction was effective.

Payment

Displays the effective date of the trade for the transaction. The effective date indicates the date on which the dividend will be credited to the shareholder's account.

Income Dividend Amount

Displays the dollar value of dividends calculated while an order purchase was pending settlement and for which a check was mailed to the dealer.

Income Dividend Shares

Displays the share quantity for dividends calculated while an order purchase was pending settlement and for which shares were reinvested into the account once settled.

Stock Dividend Shares

Displays the share quantity for open trades on the Order Processing File for funds that have experienced a stock split. All trades that are open at the time of the stock split are adjusted accordingly. In the case of a 2-for-1 stock split, a trade for 150.000 shares would be increased by 150.000 shares. The increased number of shares is displayed in this field.

Capital Gain Amount

Displays the dollar value of capital gains calculated while an order purchase was pending settlement and for which a check was mailed to the dealer.

Capital Gain Shares

Displays the share quantity for capital gains calculated while an order purchase was pending settlement and for which shares were reinvested into the account once settled.

Short-Term Shares

Displays the share quantity for short-term capital gains calculated while an order purchase was pending settlement and for which shares were reinvested into the account once settled.

Account

Displays the shareholder's account number, as identified by the fund company.

Alpha Code

Displays a shareholder's alpha code — a ten-character code used to designate the shareholder. It can be formatted in one of two ways:

- the entire last name (up to ten characters) followed by as much of the first name as will fit
- (5-4-1) the first five letters of the last name, the first four letters of the first name, and the middle initial

If the first or last name does not have the required number of letters or if a middle initial is not supplied, hyphens (-) will complete the spaces.

LOI Number

Displays the letter of intent (LOI) number. An LOI is a contractual agreement between a shareholder and a dealer stating that the shareholder will invest a certain dollar amount within a specific 13-month period for a specified reduction in price.

Management Code

Displays the two-character, alphabetic code used to identify the management company.

660E2T 26952460

Chapter 7:

Dealer Information

Dealer Information window

Dealer Information

Overview

The Dealer Information window provides summary information at the dealer or dealer/branch level.

Procedures

1. Type the dealer number in the Dealer Number field.

Note: Depending on your security level, this field may be pre-filled or the field may be replaced by a drop down list displaying valid dealer numbers from which to select.

2. You may also enter the branch number in the Branch Number field to retrieve branch-level summary information (optional).
3. Click the Retrieve push button.

The requested dealer information will be displayed.

The type of information displayed will depend on your operator ID security level. If you have:

- Dealer number security: you may view specific dealer or dealer/branch summary information
- Dealer/branch security: you may view branch-level summary information only
- Dealer/representative security: you may view dealer registration information only
- Tax ID security: you may view dealer or dealer/branch registration information
- No security: you may view dealer level and branch level summary information.

Entry Field Definitions

Dealer Number

The dealer number uniquely identifies the dealer. Depending on your security level, this field may be pre-filled, or the field may be replaced by a drop down list displaying valid dealer numbers from which to select.

Branch Number

The branch number is the alphanumeric identifier assigned to the dealer branch (optional).

05475637 123099
650621 23957460

VISION - Dealer Information - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS

Dealer Information

Dealer: 0012345 TEST DEALER
27 MELCHER ST
BOSTON MA 02210-1516

Account Information

Total Accounts By Matrix Level

Total Assets:	\$2,032,841,606.06	Level-0:	70	Level-3:	0
Open Accounts:	63	Level-1:	0	Level-4:	0
Closed Accounts:	7	Level-2:	0		

Order Summary Information

Net Orders: \$729,005.50

Total Orders: 3

Orders Older Than 30 Days: 0

Orders Older Than 60 Days: 0

Orders Older Than 90 Days: 3

Orders By Fund

Fund Name	Assets	Paid Purchase Orders	Unpaid Purchase Orders	Redemption Orders
CLIENT SERVICES MONEY MARKET FUND	\$0.00	\$0.00	\$0.00	\$0.00
CLIENT SERVICES LOAD TEST FUND	\$4,139,070.67	\$0.00	\$0.00	\$20,994.50
NO-LOAD FUND	\$1,244,313,939.06	\$0.00	\$750,000.00	\$0.00
CLIENT SERVICES LOAD FUND	\$144,934,102.80	\$0.00	\$0.00	\$0.00
CLIENT SERVICES SPECIALIZED PORTFOLIOS	\$65,434.83	\$0.00	\$0.00	\$0.00

Dealer Number:

Branch Number (Optional):

[Return to Menu](#) [Disclaimer](#) [Help](#)

[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved

Dealer Information window

00475637-12000

Display Field Definitions

(Listed in window order.)

Total Assets

Displays the total dollar value of all assets. The assets are calculated by totaling the shares for each account associated with the dealer or dealer/branch and multiplying the sum by the previous day's net asset value.

Open Accounts

Displays the total number of open accounts for the dealer or dealer branch.

Closed Accounts

Displays the total number of closed accounts for the dealer or dealer branch.

Total Accounts by Matrix Level

Displays the total number of accounts at each matrix level for the dealer or dealer/branch. Account totals are displayed for five levels of dealer control:

Level 0 = non-networked broker account

Level 1 = broker control IRA margin account

Level 2 = customer name brokerage account

Level 3 = broker control brokerage account

Level 4 = fund controlled brokerage account

Net Orders

Displays the net dollar value of all current orders. The amount is calculated by totaling the purchase orders paid and unpaid and subtracting any outstanding redemption orders.

Total Orders

Displays the total number of outstanding orders for the dealer or dealer/branch.

Orders Older Than 30 Days

Displays unsettled orders that are more than 29 days old and less than 60 days old.

Orders Older Than 60 Days

Displays unsettled orders that are more than 59 days old and less than 90 days old.

Orders Older Than 90 Days

Displays unsettled orders that are more than 89 days old.

Fund Name

Displays the full name of the fund.

Assets

Displays the total assets within the fund for the selected dealer or branch.

Paid Purchase Orders

Displays the gross dollar amount for all paid purchase orders on the Order Processing File.

Unpaid Purchase Orders

Displays the gross dollar amount for all outstanding purchase orders on the Order Processing File.

Redemption Orders

Displays the gross dollar amount for all outstanding redemption orders on the Order Processing File.

660627 2632460

NOTES

0344337-4309
660624 " 4633/460

Chapter 8:

Account Summary by Representative/Advisor Information

Account Summary by Rep/Advisor window

Account Summary by Rep/Advisor

Overview

The Account Summary by Rep/Advisor window provides summary information on a specific representative/advisor.

Procedures

1. Type the dealer number in the Dealer Number field.

Note: Depending on your security level, this field may be pre-filled, or the field may be replaced by a drop down list displaying valid dealer numbers from which to select.

2. Type the representative or advisor number in the Rep/Advisor Number field.

Note: Depending on your security level, this field may be pre-filled, or the field may be replaced by a drop down list displaying valid representative/advisor numbers from which to select.

3. Click **Search**. The requested representative/advisor information will be displayed.

Entry Field Definitions

Dealer Number

This number identifies the dealer associated with the representative or advisor. Depending on your security level, this field may be pre-filled, or the field may be replaced by a drop down list displaying valid dealer numbers from which to select.

Rep/Advisor

This number uniquely identifies the representative/advisor. Depending on your security level, this field may be pre-filled, or the field may be replaced by a drop down list displaying valid representative/advisor numbers from which to select.

Fund	Number of Accounts	Shares	Balance	% of Balance
CLIENT SERVICES MONEY MARKET FUND	14	236,217,200	\$4,380,251.20	.04
CLIENT SERVICES LOAD TEST FUND	10	9,304,716	\$17,389.19	.00
NO LOAD FUND	24	1,007,113,223	\$1,127,966.80	.01
CLIENT SERVICES LOAD FUND	18	330,540	\$30,616.01	.00
CLIENT SERVICES SPECIALIZED PORTFOLIOS	27	962,301,034,893	\$10,138,636,352.74	99.94
Totals:	93	963,754,220,5810	\$10,564,387,376.24	

Account Summary by Rep/Advisor window

Display Field Definitions

(Listed in window order.)

660227 0032460

Fund

Displays the fund name.

Number of Accounts

Displays the number of open fund accounts managed by the representative/advisor.

Shares

Displays the combined number of shares corresponding to the account(s).

Balance

Displays the combined dollar value of all account(s).

% of Balance

Displays the approximate percentage of the representative/advisor's total managed balance represented by this fund. Only whole percentages are displayed. Anything under 1% will be displayed as 0%.

0947567-13099
660327-26352450

0447537450

Chapter 9:

Searching by Dealer Account (BIN)

Vision - Account Search By Dealer Account (BIN) - IE for DST Systems

File Edit View Go Favorites Help

GLOBAL PRIME INVESTORS FUNDS
Account Search By Dealer Account (BIN)

Select a Fund

0000096 - CLIENT SERVICES LOAD FUND
0000093 - CLIENT SERVICES LOAD TEST FUND
0000034 - CLIENT SERVICES MONEY MARKET FUND
0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
0000095 - NO-LOAD FUND

☒ Retrieve accounts across funds

Dealer Account (BIN):

Firm Number (Required):

Agent For Firm (Optional):

Search

Return To Menu Help

Account Search By Dealer Account (BIN) window

Account Search by Dealer Account

Overview

The Account Search by Dealer Account (BIN) window enables you to retrieve shareholder account information by dealer account number. You may retrieve accounts within a specific fund or across all funds in the fund family.

Procedures

Searching for and Retrieving Account Information

1. To specify search criteria, complete one of the following options:
 - If you have **dealer, dealer/branch, or dealer/representative level security**, complete the following steps:

- a. Type the dealer account number in the Dealer Account (BIN) field.
- b. Click the Search push button.

A list of shareholder accounts will appear.

- If you have **tax ID-level security** or **no security**, complete the following steps:
 - a. Type the dealer account number in the Dealer Account (BIN) field.
 - b. Type the firm number (also known as FINS) in the Firm Number field.
 - c. If the dealer account (BIN) has an agent-for-firm relationship, you may enter the agent's ID in the Agent for Firm field. An agent is also known as an executing dealer or correspondent firm. This field is optional.
 - d. Click the Search push button.

A list of shareholder accounts will appear.

2. To retrieve detailed account information, click on the desired account number in the list. The Shareholder Account Information window will appear.

Retrieving Accounts Across Funds

Searching For Accounts by Dealer Account Number

The Retrieve Accounts Across Funds check box will be selected by default. This check box enables you to retrieve information for accounts with the same dealer account number within a fund family. To search for an account by dealer in a specific fund only, complete the following steps:

1. Click the Retrieve Accounts Across Funds check box to remove the check mark.
2. Highlight the desired fund from the Select a Fund list box.
3. Complete the remaining fields as instructed in Searching for and Retrieving Account Information above.

Account / Tax ID (SSIN)	Fund Code / Fund Name	Shareholder Registration	Shares / Balance
000000218 497-82-2623	34 CLIENT SERVICES MONEY MARKET FUND	JOHN F KELLER 7914 NW 26TH TER	153.6699 \$ 2,979.64
4492 497-82-2623	97 CLIENT SERVICES SPECIALIZED PORTFOLIOS	INVESTORS FIDUCIARY TRUST CO IRA RO J PATRICK KELLER	35,333.5010 \$ 387,827.91
			Total Balance: \$ 390,807.55

Select a Fund

- 00000026 - CLIENT SERVICES LOAD FUND
- 00000093 - CLIENT SERVICES LOAD TEST FUND
- 00000034 - CLIENT SERVICES MONEY MARKET FUND
- 00000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
- 00000095 - NO-LOAD FUND

☒ Retrieve accounts across funds

Dealer Account (BIN): ABC123XY2

Firm Number (Required): 0011

Agent For Firm (Optional):

Search

[Return to Menu](#) [Dealership](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved

Account Search By Dealer Account (BIN) window

Entry Field Definitions

Retrieve Accounts Across Funds

When selected, this check box will retrieve information for all accounts in a fund family that have the same dealer account number.

Dealer Account (BIN)

This number is used by the dealer to identify a client's account. Dealer account number is also referred to as broker identification number (BIN) or external account number.

Firm Number

This number is used to identify the firm. It is sometimes referred to as FINS, which stands for Financial Institution Numbering System. Depending on the security, this field may not be displayed.

Agent for Firm

The agent for firm identifies a dealer who has an agreement to process NSCC trades for another dealer. Agent for firm is also known as the executing dealer or

correspondent firm. This field is optional. Depending on the security, this field may not be displayed.

Display Field Definitions

(Listed in window order.)

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Fund Code/Fund Name

Displays the numeric code used to identify a fund on TA2000® and the full fund name.

Shareholder Registration

Displays the first two lines of the shareholder registration retrieved from the Voluntary Shareowner Account Master File.

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

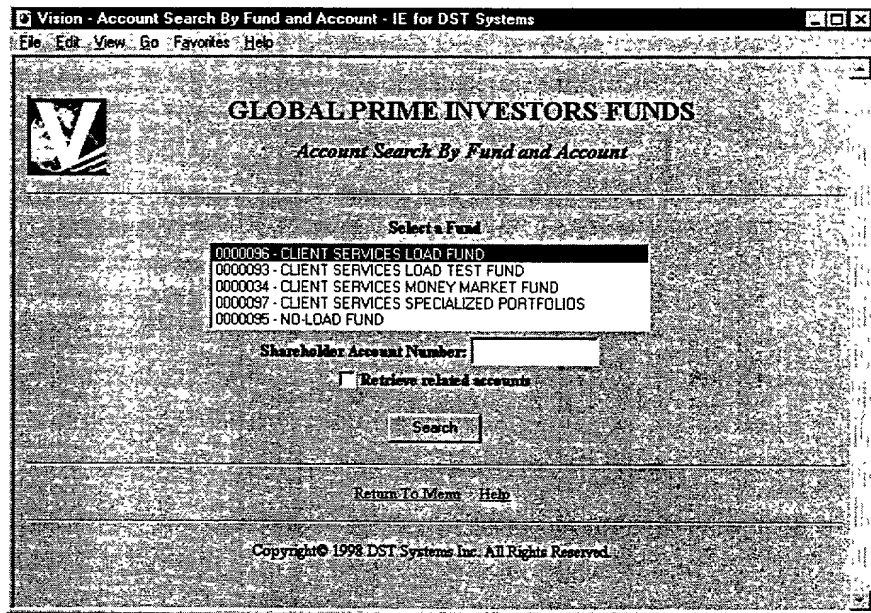
Total Account Balance

Displays the total of all amounts in the Shares/Balance Column at the end of the Search Results list. If there is more than one page of results, the Total Account Balance will appear at the end of the list on the last page of results.

650327 2293760

Chapter 10:

Searching by Fund and Account



Account Search By Fund and Account window

Account Search by Fund and Account

Overview

The Account Search by Fund and Account window enables you to retrieve shareholder account information by fund and account number. You may retrieve related accounts across all funds within that family of funds. The related account criteria is determined by the mutual fund company, and may vary between fund companies.

Procedures

1. To retrieve accounts within a specific fund, highlight the desired fund in the Select a Fund scroll box.
2. Type the account number in the Shareholder Account Number field.

3. To retrieve related accounts across funds, select the Retrieve Related Accounts check box.
4. Click the Search push button.

A list of accounts that match your search criteria will be displayed.

To retrieve detailed account information, click on the desired account number in the list. The Shareholder Account Information window will appear.

Entry Field Definitions

Shareholder Account Number

Enter the shareholder's account number, as identified by the fund company.

Retrieve Related Accounts

When selected, all accounts related to the shareholder account entered will be retrieved. The fund company defines how accounts are related (for example, by tax ID number, ZIP code, or cumulative discount number).

The screenshot shows a web browser window titled "Vision - Account Search By Fund and Account - Microsoft Internet Explorer". The page header includes the Vision logo and the text "GLOBAL PRIME INVESTORS FUNDS". Below the header, there is a section titled "Account Search By Fund and Account" with a prompt: "(Please click on the account number of the account you wish to view)".

Account Tax ID (SSN)	Fund Code/ Fund Name	Shareholder Registration	Shares/ Balance
622 07-02-523	CLIENT SERVICES SPECIALIZED PORTFOLIOS	INVESTORS EDUCARE TRUST CO IRA/R01 PATRICK KELLER	31,333.5010 \$ 387,827.91
Total Balance: \$ 387,827.91			

Below the table, there is a "Select a Fund" section with a list of fund codes and names:

- 0000096 - CLIENT SERVICES LOAD FUND
- 0000093 - CLIENT SERVICES LOAD TEST FUND
- 0000034 - CLIENT SERVICES MONEY MARKET FUND
- 0000091 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
- 0000095 - NO-LOAD FUND

Below the list, there is a "Shareholder Account Number" field with the value "54592". To the right of this field is a checkbox labeled "Retrieve related accounts" which is checked. Below the checkbox is a "Search" button.

At the bottom of the window, there are links for "Return to Menu", "Disclaimer", "Help", and "Go to Fund Search". The footer text reads "Copyright © 1999 DST Systems, Inc. All Rights Reserved".

Account Search By Fund and Account window

Display Field Definitions

(Listed in window order.)

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Fund Code/Fund Name

Displays the numeric code used to identify the fund on TA2000® and the full fund name.

Shareholder Registration

Displays the first two lines of the shareholder registration retrieved from the Voluntary Shareowner Account Master File (A87).

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

Total Account Balance

Displays the total of all amounts in the Shares/Balance Column at the end of the Search Results list. If there is more than one page of results, the Total Account Balance will appear at the end of the list on the last page of results.

Note: This search can display the Total Account Balance for a maximum of 200 accounts.

650627 2632460

NOTES

0347537 123099
550227 26232460

Chapter 11:

Searching by Shareholder Name

Vision - Account Search By Shareholder Name - IE for DST Systems

File Edit View Go Favorites Help

GLOBAL PRIME INVESTORS FUNDS
Account Search By Shareholder Name

Select a Fund

- 0000096 - CLIENT SERVICES LOAD FUND
- 0000093 - CLIENT SERVICES LOAD TEST FUND
- 0000034 - CLIENT SERVICES MONEY MARKET FUND
- 0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
- 0000095 - NO-LOAD FUND

☐ Retrieve accounts across funds

Last Name: Keller

First Name (Optional):

Middle Initial (Optional):

State (Optional): You May Select a State

Search

Return To Menu Help

Account Search By Shareholder Name window

Account Search by Shareholder Name

Overview

The Account Search by Shareholder Name window enables you to retrieve shareholder account information by shareholder name. You may retrieve accounts across funds in the same fund family.

Procedures

1. To retrieve accounts within a specific fund, highlight the desired fund in the Select a Fund scroll box.
2. To retrieve information for accounts with the same shareholder registration across a fund family, select the Retrieve Accounts Across Funds check box.

3. Type the shareholder's last name in the Last Name field. At least two characters of the last name are required.
4. To further limit the search, complete one or more of the following optional fields:
 - Type the shareholder's first name in the First Name field.
 - Type the shareholder's middle initial in the Middle Initial field.
 - Select the shareholder's state from the State field drop-down list.
5. Click the Search push button.

A list of accounts that match your search criteria will be displayed.

To retrieve detailed account information, click on the desired account number in the list. The Shareholder Account Information window will appear.

Entry Field Definitions

Retrieve Accounts Across Funds

When selected, this check box will retrieve information for all accounts in a fund family that have the same shareholder registration.

Last Name

This name is the shareholder's last name on the account registration. At least two characters of the last name are required.

First Name

This name is the shareholder's first name on the account registration. This field is optional.

Middle Initial

This initial is the first letter of the shareholder's middle name on the account registration. This field is optional.

State

This is the state listed on the shareholder's account registration. This field is optional.

660327 2632450

Account/ Tax ID (SSN)	Fund Code/ Fund Name	Shareholder Registration	Shares/ Balance
0000000000 497-82-2325	34 CLIENT SERVICES MONEY MARKET FUND	PAT P KELLER 11812 AVILA DR	13.7440 \$ 262.51

Select a Fund

- 0000096 - CLIENT SERVICES LOAD FUND
- 0000093 - CLIENT SERVICES LOAD TEST FUND
- 0000034 - CLIENT SERVICES MONEY MARKET FUND
- 0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
- 0000095 - NO-LOAD FUND

☒ Retrieve accounts across funds

Last Name: KELLER

First Name (Optional):

Account Search By Shareholder Name window

Display Field Definitions

(Listed in window order.)

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Fund Code/Fund Name

Displays the numeric code used to identify a fund on TA2000® and the full fund name.

Shareholder Registration

Displays the first two lines of shareholder registration retrieved from the Voluntary Shareowner Account Master File.

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

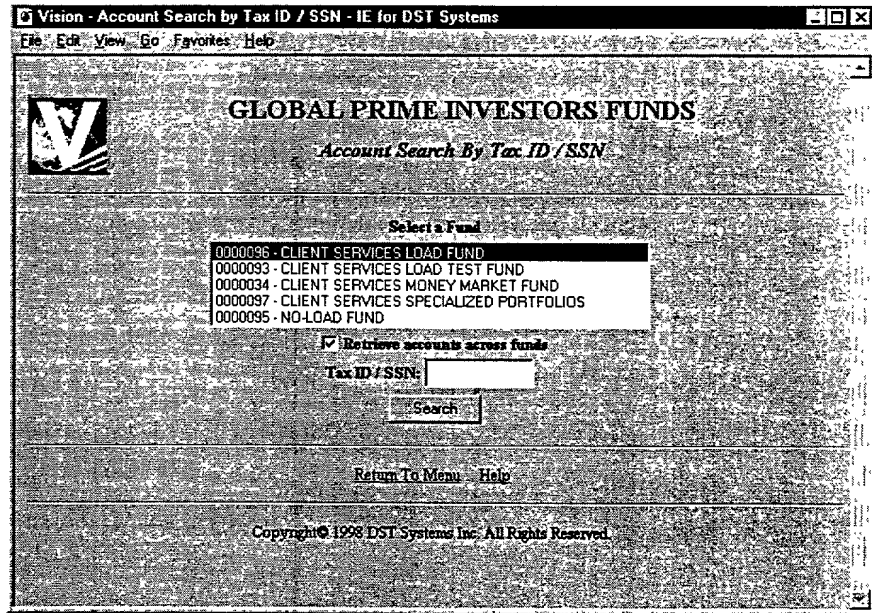
0947537 26957460

NOTES

0947367 1090
060727 2205450

Chapter 12:

Searching by Tax ID or Social Security Number



Account Search by Tax ID/SSN window

Account Search by Tax ID/SSN

Overview

The Account Search by Tax ID/SSN window enables you to retrieve shareholder account information by tax ID or Social Security number. You may retrieve accounts across all funds in the fund family.

Procedures

1. To retrieve accounts within a specific fund, highlight the desired fund in the Select a Fund scroll box.
2. The Retrieve Accounts Across Fund check box is selected by default. This allows you to retrieve a list of accounts across the fund family. If you do not want to retrieve a list of all accounts in the fund family that are related by tax

ID or Social Security number, select this check box again to remove the check mark.

3. Type the shareholder's tax ID or Social Security Number in the Tax ID/SSN field.

4. Click the Search push button.

A list of accounts that match your search criteria will be displayed.

5. To retrieve detailed account information, click on the desired account number in the list. The Shareholder Account Information window will appear.

Entry Field Definitions

Retrieve Accounts Across Funds

When selected, this check box will retrieve information for all accounts in a fund family that have the same shareholder tax ID or Social Security number. This check box is selected by default.

Tax ID/SSN

This number uniquely identifies the shareholder. You may enter the shareholder's tax ID number or Social Security number.

Account Tax ID (SSN)	Fund Code	Fund Name	Shareholder Registration	Share Balance
0157 497-82-2623	00	CLIENT SERVICES LOAD FUND	INVESTORY FIDUCIARY TRUST CO CUST FOR THE IRA OF	261.328 \$21,092.17
000000718 497-82-2623	00	CLIENT SERVICES LOAD FUND	JOHN P KELLER 7914 NW 17TH TER	0.0000 \$0.00
000000046 497-82-2623	00	CLIENT SERVICES LOAD FUND	JOHN P KELLER MARILYN B KELLER JT WIFE	13.400 \$214.04
Total Balance:				\$21,306.21

Select a Fund

- 00000046 - CLIENT SERVICES LOAD FUND
- 00000093 - CLIENT SERVICES LOAD TEST FUND
- 00000034 - CLIENT SERVICES MONEY MARKET FUND
- 00000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
- 00000095 - NO-LOAD FUND

☒ Retrieve accounts across funds

Tax ID / SSN: 497822623

Search

Return to Menu Disclaimer Help

Send to Main Support

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Account Search by Tax ID/SSN window

Display Field Definitions

(Listed in window order.)

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Fund Code/Fund Name

Displays the numeric code used to identify a fund on TA2000 and the full fund name.

Shareholder Registration

Displays the first two lines of shareholder registration retrieved from the Voluntary Shareowner Account Master File.

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

Total Account Balance

Displays the total of all amounts in the Shares/Balance Column at the end of the Search Results list. If there is more than one page of results, the Total Account Balance will appear at the end of the list on the last page of results.

09475637 123099
660827 289460

**PRINT OF DRAWINGS
AS ORIGINALLY FILED**

Searching by _____ ty Number

Vision Inquiry Training Guide

NOTES

03475637 13099
660627 2997460

Chapter 13:

Searching by Representative or Advisor

Account Search By Rep/Advisor window

Account Search by Rep/Advisor

Overview

The Account Search by Rep/Advisor window enables you to retrieve shareholder account information by representative or advisor. You may retrieve accounts across all funds in the fund family.

Procedures

1. To retrieve accounts within a specific fund, highlight the desired fund in the Select a Fund scroll box.
2. The Retrieve Accounts Across Funds check box is selected by default. This allows you to retrieve a list of accounts across the fund family. If you do not

want to retrieve a list of all accounts in the fund family, select this check box again to remove the check mark.

3. Type the dealer number in the Dealer Number field. Depending on your security level, this field may be pre-filled, or the field may be replaced by a drop down list displaying valid dealer numbers from which to select.
4. Type either the representative or advisor number in the Rep/Advisor Number field. Depending on your security level, this field may be pre-filled, or the field may be replaced by a drop down list displaying valid representative/advisor numbers from which to select.
5. The Tax ID + ZIP Code sort criteria is selected by default. To sort the returned list of accounts in a different order, select the desired button.
6. Click the Search push button.

A list of accounts that match your search criteria will be displayed.

To retrieve detailed account information, click on the desired account number in the list. The Shareholder Account Information window will appear.

Entry Field Definitions

Retrieve Accounts Across Funds

When selected, this check box will retrieve information for all accounts in a fund family that have the same representative/advisor number.

Dealer Number

This number is used by the fund to identify the dealer. Depending on your security level, this field may be pre-filled, or the field may be replaced by a drop down list displaying valid dealer numbers from which to select.

Rep/Advisor Number

This number identifies the representative or advisor assigned to the account. Depending on your security level, this field may be pre-filled, or the field may be replaced by a drop down list displaying valid representative/advisor numbers from which to select.

Tax ID + ZIP Code

When selected, this button causes the returned list of accounts to be displayed in tax ID and ZIP code order.

Cumulative Discount Number + ZIP Code

When selected, this radio button causes the returned list of accounts to be displayed in cumulative discount number and ZIP code order.

Fund + Account Number

When selected, this button causes the returned list of accounts to be displayed in fund name and account number order.

Alphabetical by Name

When selected, this button causes the returned list of accounts to be displayed in alphabetical order by shareholder name.

GLOBAL PRIME INVESTORS FUNDS
Account Search By Rep / Advisor
(Please click on the account number of the account you wish to view.)

Account/ Tax ID (SSN)	Fund Code/ Fund Name	Shareholder Registration	Shares/ Balance
000000692 111-11-1111	96 CLIENT SERVICES LOAD FUND	KELLY RHENNIER 12341 LOCUST	1.3890 \$77.24
000000672 112-11-9630	96 CLIENT SERVICES LOAD FUND	MARY C BRADY 1855 BROADWAY ST FL 4	17.9030 \$990.02
000000493 888-88-8888	96 CLIENT SERVICES LOAD FUND	PAT F KELLER 11812 AVILA DR	13.3890 \$772.37
Total Balance:			\$ 30,466.04

Select a Fund

- 0000096 - CLIENT SERVICES LOAD FUND
- 0000093 - CLIENT SERVICES LOAD TEST FUND
- 0000034 - CLIENT SERVICES MONEY MARKET FUND
- 0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
- 0000095 - NO-LOAD FUND

☐ Retrieve accounts across funds

Dealer Number: 11111
Rep / Advisor Number: 1234

Select Sort Criteria

- ☒ Tax ID + ZIP Code
- ☐ Cumulative Discount Number + ZIP Code
- ☐ Fund + Account Number
- ☐ Alphabetical by Name

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Account Search By Rep/Advisor window

Display Field Definitions

(Listed in window order.)

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Fund Code/Fund Name

Displays the numeric code used to identify the fund on TA2000® and the full fund name.

Shareholder Registration

Displays the first two lines of the shareholder registration retrieved from the Voluntary Shareowner Account Master File (A87).

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

Total Account Balance

Displays the total of all amounts in the Shares/Balance Column at the end of the Search Results list. If there is more than one page of results, the Total Account Balance will appear at the end of the list on the last page of results.

660627 23032460

Chapter 14:

Shareholder Account Information

660627 2E937450

Version - Shareholder Account Information - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
Shareholder Account Information
Today's Date: 06/28/1999

ticker - CSPAF CLIENT SERVICES SPECIALIZED PORTFOLIOS Fund Code - 97
CUSIP - CUSIP9700

Account: 5000000215 JOHN P KELLER
Account History 7914 NW 76TH TER
KANSAS CITY MO 64152-4419

Total Shares:	384.9860	Date Established:	10/23/1998
Issued Shares:	0.0000	Last Maintenance:	10/19/1998
Unissued Shares:	384.9860	Dealer Name:	MIDWEST BROKERAGE
Escrow Shares:	120.0000	Dealer / Branch:	00111111111
NAV per Share:	\$10.9700	Rep / Advisor Name:	
NAV as of Date:	06/29/1999	Dealer Account:	
Account Value:	\$4,223.30	Rep / Advisor Number:	1234
Net Pending (Reinvest)		Matrix Level:	0
Distribution Amount:	\$0.00	Alpha Code:	KELLEJOHNP
Net Pending (Cash)		Cumulative Discount Number:	0
Distribution Amount:	\$0.00	Letter of Intent Number:	000043203
Daily Dividend Accrual:	\$0.00		
Capital Gains: Reinvest			
Dividends: Reinvest			
Tax ID:	497-82-2623		

Account Options	Additional Information	Transactions
<ul style="list-style-type: none">• Audio Response• Correspondence Pending• Language: English• Telephone Exchange	<ul style="list-style-type: none">• Account History• Account Maintenance History• CDSC Hypothetical Calculation• Dealer Information• Year End Summary	<ul style="list-style-type: none">• Exchange

Return to Account List Tax Center Help
E-Mail to Service Support

Copyright © 1999 DST Systems, Inc. All Rights Reserved

Shareholder Account Information window

Shareholder Account Information

Overview

The Shareholder Account Information window displays general account information and enables you to retrieve additional information relating to the account.

Procedures

1. View the displayed account information.
2. To view additional information about the account, click one of the highlighted links displayed under the 'Account Options' or 'Additional Options' at the bottom of the window. Account options that are not highlighted as a link indicate that the option is turned on for that account, but there is no additional information available to view.

Note: Displayed links will vary depending on the options established for the account.

3. The selected window will appear.

Link Definitions

Links are displayed under the 'Account Options' and 'Additional Options' headings at the bottom of the Shareholder Information page. Only links corresponding to options established on the account will appear.

Account History

Displays account transaction lists. This link is displayed in two separate areas of the Shareholder Information window, at the top of the page, and under the 'Additional Options' heading at the bottom of the page.

Account Maintenance History

Displays maintenance history for the account.

Additional Mail

Displays the full registration and additional mailing addresses associated with the account.

Average Cost

Displays initial and current cost basis information.

0647537-2E957450

Bank Instructions

Displays the routing number and address of the bank to which the shareholder account is linked as well as the account number, registration, and type.

Certificates

Displays certificate and status information about any issued certificates for the account.

CDSC Hypothetical Calculation

Displays hypothetical information on contingent deferred sales charge (CDSC) fees for a redemption from the account. Displayed fees are for informational purposes only. This window does not initiate an actual redemption transaction.

Dealer Information

Displays account and order summary information by dealer.

Dividend Reinvestment

Displays registration and fund information for the "from" and "to" accounts involved in an automatic dividend reinvestment plan.

Fiduciary Account

Displays beneficiary and transaction information for the account.

Pending Trades

Displays transaction information for pending trades associated with the account.

Rights of Accumulation (ROA)

Displays group value amounts and information about accounts linked to the account

Systematic Agreement

Displays the calendar and redemption or purchase information for the systematic agreement.

Systematic Exchange

Displays calendar information and transaction settings for the systematic exchange.

Year End Summary

Displays reporting, distribution, contribution, and form/tape status information.

Return to Account Lists

Returns to the Account List window.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Total Shares

Displays the current share balance of the account.

Issued Shares

Displays the number of shares that are in certificate form.

Unissued Shares

Displays the number of shares in the account that do not have issued certificates.

Escrow Shares

Displays the number of escrow shares held in the account. Escrow shares are held in custody by the transfer agent, pending successful completion of a letter of intent (LOI). Usually, the escrow share amount is equal to five percent of the LOI dollar amount.

NAV Per Share

Displays the dollar value of one share of the fund. Value is determined by the formula (total assets - total liabilities)/total shares outstanding.

NAV as of Date

Displays the date the NAV (net asset value) was calculated.

Note: The NAV date is not necessarily the same as the current date.

Pending Distribution Amounts (Cash)

Displays the dollar amount of pending cash distributions. This field displays any of the following distribution types:

- cash income dividends

- cash short term capital gains
 - cash long term capital gains
 - any other miscellaneous cash distribution amounts.
-

Pending Distribution Amounts (Reinvest)

Displays the dollar amount of pending reinvestment distributions. This field displays any of the following distribution types:

- reinvest income dividends
 - reinvest short term capital gains
 - reinvest long term capital gains
 - any other miscellaneous reinvestment distribution amounts.
-

Account Value

Displays the dollar value of the account. Account value is determined by multiplying the sum of the issued and unissued shares by the net asset value.

Daily Dividend Accrual

Displays the dividend amount that has accrued within the account since the last dividend payment. This applies to daily dividend funds only.

Capital Gains

Displays the method for distributing capital gains: reinvest or pay in cash.

Dividends

Displays the method for distributing dividends: reinvest or pay in cash.

Tax ID

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

09475637 123099
660327 289460

Date Established

Displays the date that the shareholder's account was established with the fund. If the last maintenance date displayed for the account is before the date established, the Date Established field will indicate the date the account was first funded.

Last Maintenance

Displays the most recent voluntary update to the file.

Dealer Name

Displays the dealer firm name.

Dealer/Branch

Displays the dealer number and branch number used by the fund company for dealer and branch identification.

Rep/Advisor Name

Displays the name of the representative on the account.

Rep/Advisor Number

Displays the number assigned to the dealer representative on the account.

Dealer Account

Displays the number used by the dealer to identify a client's account.

Matrix Level

Displays one of five values to indicate the level of dealer control:

- 0 = non-networked broker account
 - 1 = broker control IRA margin account
 - 2 = customer name brokerage account
 - 3 = broker control brokerage account
 - 4 = fund controlled brokerage account
-

660627 2292460

Alpha Code

Displays a shareholder's alpha code. An alpha code is a ten-character code that can be formatted in one of the following ways:

- the entire last name (up to ten characters) followed by as much of the first name as possible.
- (5-4-1) the first five letters of the last name, the first four letters of the first name, and the middle initial. If the first or last name does not have the required number of letters or if a middle initial is not supplied, hyphens (-) will complete the spaces.

Cumulative Discount Number

Displays the cumulative discount (cum disc) number. A cumulative discount number links shareholder accounts to provide purchase discount pricing and for group reporting purposes.

Letter of Intent Number

Displays the letter of intent (LOI) number. An LOI is a contractual agreement between a shareholder and a dealer stating that the shareholder will invest a certain dollar amount within a specific 13-month period for a specified reduction in price.

650627 22937450

NOTES

09475637 123059
660727 2295460

Chapter 15:

Account Options

This chapter describes the following account options:

- Additional Mail
- Average Cost
- Bank Instructions
- Certificates
- Dividend Reinvest
- Fiduciary Information
- Pending Trades
- Rights of Accumulation
- Systematic Agreements
- Systematic Exchanges

These options are arranged in alphabetical order within this chapter.

Account Option links are displayed under the "Account Options" headings at the bottom of the Shareholder Information page. Only links corresponding to options established on the account will appear. Account options that are not highlighted as a link indicate that the option is turned on for that account, but there is no additional information available to view. For a definition of the non-highlighted account options contact your fund client services representative.

660622 2293450

Additional Mail window

Additional Mail

Overview

The Additional Mail window displays the mailing addresses associated with the account. The address on the shareholder's account registration is initially displayed. Additional mailing addresses are displayed in the lower portion of the window and are labeled by type (for example, dividend mailing or interested party).

Procedures

1. View the displayed information.
2. To return to the Management Company menu, click on the Return to Menu link.
3. To return to the Shareholder Account Information window, click on the browser's Back button.

Link Definitions

Return to Menu

Returns to the Management Company menu.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

XXX Mail

Displays a secondary mailing address associated with the account. The field title will indicate the type of address displayed (for example, additional mail or interested party).


Last Maintenance Date

Displays the most recent voluntary update to the account registration.

09475637 133099
660621 2295460

Vision - Average Cost - Microsoft Internet Explorer

File Edit View Favorites Tools Help

 **GLOBAL PRIME INVESTORS FUNDS**
Average Cost

Ticker - CSMMF	NO-LOAD FUND	Fund Code - 95
Account: 6000005121	CUSIP - CUSIP9500	
Tax ID/SSN: 112-11-9630	MARY C BRADY	
	1055 BROADWAY ST FL 4	
	KANSAS CITY MO 64105-1575	

Initial Cost Basis		Current Cost Basis	
Cost Basis Amount:	\$0.00	Cost Basis Amount:	\$0.00
Shares:	0.0000	Shares:	0.0000
Cost Per Unit:	\$0.0000	Cost Per Unit:	\$0.0000
Status:	System	Status:	System
Report Average Cost:	Yes	Last Calculation Date:	
Last Maintenance Date:			
Effective From Date:	01/01/1999		

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved

Average Cost window

Average Cost

Overview

The Average Cost window displays initial and current cost basis information. If the average cost cannot be calculated due to pending shareholder information, the transaction which caused the pending status will be displayed.

Procedures

1. View the displayed information.
2. To return to the Management Company menu, click on the Return to Menu link.
3. To return to the Shareholder Account Information window, click on the browser's Back button.

Link Definitions

Return to Menu

Returns to the Management Company menu.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Initial Cost Basis

Cost Basis Amount

Displays the dollar amount of the shareholder's investment for tax purposes. The initial cost basis is as of the date in the Initial Cost Basis Effective From Date field.

Shares

Displays the number of shares that were in the account on the Effective From date.

Cost Per Unit

Displays the average cost per share when the transaction was processed.

660621 22937450

Status

Displays the account-level status at the time indicated by the Effective From date. One of the following statuses may be shown in this status field:

- shareholder supplied
- dealer supplied
- pending
- representative supplied
- system: the account has never had any manual adjustments made to it
- suspend: an adjustment is required because the number of shares found on the Voluntary Shareowner Account Master File does not equal the number of shares found on the Average Cost Shareowner Account Table. This discrepancy may be caused by a transfer or other transaction where cost per share was not indicated
- transfer agent supplied

Report Average Cost

Displays whether the shareholder will receive an average cost statement.

Last Maintenance Date

Displays the most recent voluntary update to the file.

Effective From Date

Displays the beginning date for which the account's history is available online. This is the date from which average cost statements and transcripts may be generated.

Current Cost Basis

Cost Basis Amount

Displays the dollar amount of the shareholder's investment for tax purposes. The current cost basis is as of the date in the Current Cost Basis Last Calculated Date field.

Shares

Displays the number of shares in the account that were used to determine the current cost per unit.

Cost Per Unit

Displays the current average cost per share.

Status

Displays the account-level status. One of the following statuses may be listed in this field:

- shareholder supplied
- dealer supplied
- pending
- representative supplied
- system: the account has never had any manual adjustments made to it
- suspend: an adjustment is required because the number of shares found on the Voluntary Shareowner Account Master File does not equal the number of shares found on the Average Cost Shareowner Account Table. This discrepancy may be caused by a transfer or other transaction where cost per share was not indicated
- transfer agent supplied


Last Calculation Date

Displays the date on which the last average cost calculation occurred. This date may be the result of a request for an average cost statement or transcript or the result of a periodic calculation performed by the fund.

660627 2932450

2 Vision - Bank Instructions - Microsoft Internet Explorer

File Edit View Favorites Tools Help

 **GLOBAL PRIME INVESTORS FUNDS**
Bank Instructions

Ticker - CSMMF	NO-LOAD FUND	Fund Code - 95
Account: 6000005121	CUSIP - CUSIP9500	
Tax ID/SSN: 112-11-9630	MARY C BRADY	
	1055 BROADWAY ST FL 4	
	KANSAS CITY MO 64105-1575	

Bank Name/Address	Routing: 101000019
COMMERCE BANK OF KANSAS	Bank Account: 123456
CITY	Bank Account: Checking
10TH AND WALNUT	Type:
KANSAS CITY, MO 64141-0000	Transaction: ACH Purchase
Bank Account Registration	Type:
MARY C BRADY	

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Bank Instructions window

Bank Instructions

Overview

The Bank Instructions window displays the routing number and address of the bank to which the shareholder account is linked as well as the account number, registration, and type.

Procedures

1. View the displayed information.
2. To return to the Management Company menu, click on the Return to Menu link.
3. To return to the Shareholder Account Information window, click on the browser's 'Back' button.

Link Definitions

Return to Menu

Returns to the Management Company menu.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Routing

Displays the Federal Reserve's nine-digit routing identification number assigned to the shareholder's bank. The first four digits indicate the bank's Federal Reserve ID number; the second four digits indicate the American Banking Association (ABA) number; the last digit is the check digit.

Bank Account

Displays the bank account number of the shareholder's bank. This account is the one to which funds are wired (in the case of a redemption) or from which payments are drawn (in the case of a pre-authorized purchase).

Bank Account Type

Displays one of two values to indicate the type of bank account from which the purchase will be made or into which the redemption will be deposited:

- C = checking
- S = savings

Bank Name/Address

Displays the name and address of the shareholder's bank.


Bank Account Registration

Displays the complete name(s) to which the bank account is registered.

660627 2295460

Vision - Certificates - Microsoft Internet Explorer

File Edit View Favorites Tools Help

 **GLOBAL PRIME INVESTORS**
Certificates

28 MFB FUND - MIRRORS GVT FUND 22

Ticker - MGVT	CUSIP - 226300101	Fund Code - 28
---------------	-------------------	----------------

Account: 8741	DEBBIE LOPEZ
Tax ID/SSN: 486-80-1964	503 PACIFIC DRIVE
	BELTON MO 64012-2935

Prefix	Certificate #	Shares	Issued	Stopped	Cancelled	Replacement #	Status
LD	0006941	70.0000	04/29/1997				Issued

[Return To Menu](#) [Help](#)

Copyright © 1998 DST Systems Inc. All Rights Reserved

Certificates window

Certificates

Overview

The Certificates window displays certificate and status information about any issued certificates for the account.

Procedures

1. View the displayed information.
2. To return to the Account List window, select the Return to Account List link.
3. To return to the Shareholder Account Information window, click on the browser's Back button.

Link Definitions

Return to Menu

Returns to the Management Company menu.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Prefix

Displays the three-character preface to the certificate number.

Certificate

Displays the certificate identification number associated with the issued certificate.

Shares

Displays the number of shares corresponding to the certificate.

Issued

Displays the month, day, and year on which the certificate was issued.

Stopped

Displays the month, day, and year on which the certificate was stopped because it was reported as lost or not received.

Canceled

Displays the month, day, and year on which the certificate was deposited to the shareholder's account.

Replacement

Displays the new certificate number, if the certificate has been replaced with a new certificate.

660621 23957450

Status

Displays one of the following certificate status values:

- **Issued** = the certificate is in issued form
- **Stopped** = the certificate has been reported as lost
- **Canceled** = the certificate has been deposited to the shareholder's account
- **Replaced** = a previously "stopped" certificate has been replaced

The screenshot shows a web browser window titled "Vision - Dividend Reinvestment - Microsoft Internet Explorer". The page header includes a logo and the text "Global Prime Investors Funds" and "Dividend Reinvestment". The main content area displays information for the "28 GOVERNMENT BOND FUND". It lists the Ticker as "GBFX", CUSIP as "226300101", and Fund Code as "28". Below this, it shows Account: 778, Tax ID/SSN: 987-80-1964, Plan Type: IRA, and Classification: Employee Account. The registration information includes "CGIC TRUSTEE FOR", "CARL J JONES", "TEST A/C FOR IMAGING/AWD", "666 COUNTRY MANOR", and "PENNSYLVANIA 6-5000". The "Reinvested To" information shows "Fund: 65 GROWTH & INCOME FUND" and "Account: 778". At the bottom, there is a "Return To Menu - Help" link and a copyright notice: "Copyright © 1999 DST Systems Inc. All Rights Reserved".

28 GOVERNMENT BOND FUND		
Ticker - GBFX	CUSIP - 226300101	Fund Code - 28
Account: 778	CGIC TRUSTEE	
Tax ID/SSN: 987-80-1964	DEBBIE JONES IRA	
Plan Type: IRA	TORA TESTING DO NOT USE	
Classification: Employee Account	503 PACIFIC DR	
	WELTON MO 64012-2935	
Reinvested To Fund: 65 GROWTH & INCOME FUND		
Reinvested To Account: 778		
Registration: CGIC TRUSTEE FOR		
CARL J JONES		
TEST A/C FOR IMAGING/AWD		
666 COUNTRY MANOR		
PENNSYLVANIA 6-5000		
Plan Type: IRA		
Classification: Employee Account		
Return To Menu - Help		
Copyright © 1999 DST Systems Inc. All Rights Reserved		

Dividend Reinvestment window

Dividend Reinvestment

The Dividend Reinvestment window displays registration and fund information for the "from" and "to" accounts involved in an automatic dividend reinvestment plan.

Procedures

1. View the displayed information.
2. To return to the Management Company Menu window, select the Return to Menu link.

Link Definitions

Return to Menu

Returns to the Management Company Menu window.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's "from" account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account.

Plan Type

Displays the type of investment plan associated with the "from" account.

Classification

Displays one of the following classifications for the "from" account:

- control account
 - employer account
 - owner/employer account
 - employee account
-

Reinvested to Fund

Displays the fund information to which dividends are reinvested.

Reinvested to Account

Displays the account number to which dividends are reinvested.

Registration

Displays the complete shareholder registration of the "to" account. This information is retrieved from the Voluntary Shareowner Master File (A87).

Plan Type

Displays the type of investment plan associated with the "to" account.

Classification


Displays one of the following classifications for the "to" account:

- control account
 - employer account
 - owner/employer account
 - employee account.
-

660627 2252460

2 Vision - Fiduciary Information - Microsoft Internet Explorer

File Edit View Favorites Tools Help

 **GLOBAL PRIME INVESTORS**
Fiduciary Information

28 MER FUND - MIRRORS GVT FUND 22		
Ticker - MGVT	CUSIP - 226300101	Fund Code - 28
Account: 778 Tax ID/SSN: 987-80-1964		
CGTC TRUSTEE DEBBIE LOPEZ IRA TORA TESTING DO NOT USE 503 PACIFIC DR. WELTON MO 64012-2935		
Planholder Birthdate: 12/25/1933 Planholder Marital Status: Married Plan Type: IRA Classification: Employee Account		
Primary Beneficiary	Name	Secondary Beneficiary
DADDY JONES	Address	
	City/St/Zip	
DAD	Relationship	
000-00-0000	Tax ID	000-00-0000
	Birthdate	
	Designated Date	
Current Year YTD Employer Contribution: \$0.00 Current Year YTD Employee Contribution: \$0.00 Prior Year YTD Employer Contribution: \$0.00 Prior Year YTD Employee Contribution: \$0.00 Inception to Date Employer Contribution: \$750.00 Inception to Date Employee Contribution: \$356,097.59 Year to Date Capital Gains: \$29,497.39 Year to Date Dividends: \$47,307.86 Inception to Date Capital Gains: \$210,348.80 Inception to Date Dividends: \$157,791.09 Year to Date Nontaxable Withdrawals: \$0.00 Year to Date Taxable Withdrawals: \$100.00 Year to Date Withholdings: \$0.00 Inception to Date Nontaxable Withdrawals: \$355,006.66 Inception to Date Taxable Withdrawals: \$16,286.00 Inception to Date Withholdings: \$1,059.00		
Return To Menu Help		
Copyright © 1998 DST Systems Inc. All Rights Reserved		

Fiduciary Information window

Fiduciary Information

Overview

The Fiduciary Information window displays beneficiary and transaction information for the account.

Displays the contribution classification of the account. The classification may be:

- control account
- employer account
- own employee
- employee account

Displays the primary beneficiary's name, mailing address, relationship, tax identification number, and date of birth. This field also displays the date on which the primary beneficiary was designated as such.

Displays the secondary beneficiary's name, mailing address, relationship, tax identification number, and date of birth. This field also displays the date on which the secondary beneficiary was designated as such.

Displays the current year-to-date contributions made by the employer.

Displays the current year-to-date contributions made by the employee.

Displays the year-to-date contributions made by the employer for the previous year.

Prior Year YTD Employee Contribution

Displays the year-to-date contributions made by the employee for the previous year.

Inception to Date Employer Contribution

Displays the inception-to-date contributions made by the employer.

Inception to Date Employee Contribution

Displays the inception-to-date contributions made by the employee.

Year to Date Capital Gains

Displays the year-to-date capital gains earned.

Year to Date Dividends

Displays the year-to-date dividends earned.

Inception to Date Capital Gains

Displays the total capital gains earned since the inception of the account.

Inception to Date Dividends

Displays the total dividends earned since the inception of the account.

Year to Date Nontaxable Withdrawals

Displays the year-to-date nontaxable withdrawals made from the account.

Year to Date Taxable Withdrawals

Displays the year-to-date taxable withdrawals made from the account.

Year to Date Withholdings

Displays the year-to-date withholdings on the account.

Inception to Date Nontaxable Withdrawals

Displays the nontaxable withdrawals made from the account since its inception.

Inception to Date Taxable Withdrawals

Displays the taxable withdrawals made from the account since its inception.

Inception to Date Withholdings

Displays the withholdings on the account since its inception.

650227 2232460

GLOBAL PRIME INVESTORS FUNDS
Pending Trades

CLIENT SERVICES SPECIALIZED PORTFOLIOS

Ticker - CSPAF	CUSIP - CUSIP9700	Fund Code - 97
----------------	-------------------	----------------

Account - 6000005456	PATRICK J JOHNSON
Tax ID/SSN - 999-77-8888	4520 ROANOKE PKWY APT 1
	KANSAS CITY MO 64111-7298

Trade Description	Trade Date	Shares	Net Amount	Gross Dollars
EXPRESS-TRANSFER PURCHASE	05/20/1999	0.0000	\$0.00	\$300.00

(* Indicates Order)

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Pending Trades window

Pending Trades

Overview

The Pending Trades window displays transaction information for pending trades associated with the account.

Procedures

1. View the displayed information.
2. To return to the Account List window, select the Return to Account List link.
3. To return to the Shareholder Account Information window, click on the browser's Back button.

Link Definitions

Return to Menu

Returns to the Management Company menu.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Trade Description

Displays a description of the transaction.

Trade Date

Displays the date on which the transaction was priced.

Shares

Displays the number of shares involved in the transaction.

Net Amount

Displays the dollar amount of the transaction less commission.


Gross Dollars

Displays the total dollar amount of the transaction.

0547537-13099
060627 26367450

2 Vision - Rights of Accumulation - Microsoft Internet Explorer

File Edit View Favorites Tools Help

 **GLOBAL PRIME INVESTORS**
Rights of Accumulation

28 MFB FUND - MIRRORS GVT FUND 22

Ticker - MGVIIF CUSIP - 226300101 Fund Code - 28

Account: 8408 DEBBIE R LOPEZ
Tax ID/SSN: 499-70-4453 507 PACIFIC DR
BELTON MO 64012-2935

Cumulative Discount Number: 11556

Group Value Amount: \$21,234,495.53

Net ROA Amount: \$21,234,395.53

Open Accounts: 12

Total Accounts: 14

Fund	Valuation	Relationship	
28 MFB FUND - MIRRORS GVT FUND 22	\$21,088,161.02	Cumulative	Account List
65 MFB FUND - MIRRORS DTC FUND 03	\$32,723.88	Cumulative	Account List
67 MFB FUND - MIRRORS DTC FUND 09	\$41,411.82	Associative + Cumulative	Account List
68 MFB FUND - MIRRORS TEF FUND 68	\$72,199.61	Cumulative	Account List

[Return To Menu](#) [Help](#)

Copyright © 1998 DST Systems Inc. All Rights Reserved.

Rights of Accumulation window

Rights of Accumulation

Overview

The Rights of Accumulation window displays group value amounts and information about accounts linked to the account.

Procedures

1. View the displayed information.
2. To view a list of accounts associated with a fund, click the Account List link to the right of the desired fund.
3. To return to the Management Company Menu, select the Return to Menu link.
4. To return to the Shareholder Account Information page, click the browser's Back button.

Link Definitions

Account List

Displays a scroll box of account numbers associated with a fund.

Return to Menu

Returns to the Management Company Menu.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Cumulative Discount Number

Displays the cumulative discount (cum disc) number. A cumulative discount number links shareholder accounts to provide purchase discount pricing and for group reporting purposes.

Group Value Amount

Displays the total value of all mutual fund accounts associated with the cumulative discount group number.

Net ROA Amount

Displays the total dollar value of all cumulative shares on which a commission has been paid.

Open Accounts

Displays the total number of open accounts linked for rights of accumulation.

Total Accounts

Displays the total number of accounts linked for rights of accumulation.

Fund

Displays the information for a fund containing accounts associated with the cumulative discount group number.

Valuation

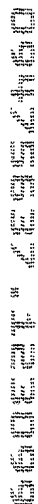
Displays the total value of all accounts in the fund associated with the cumulative discount group number.

Relationship

Displays one of the following values:

- Cumulative: Indicates that commissions have been paid on 100% of the total valuation of the accounts in the cumulative discount account group.
 - Associated: Indicates that commissions have been paid on less than 100% of the total valuation of the accounts in the cumulative discount account group.
-

0347367-13099
660E2F 7E952450



Systematic Agreements

The Systematic Agreements window displays the calendar and redemption or purchase information for the systematic agreement.

1. View the displayed information.
2. To return to the Management Company menu, click on the Return to Menu link.
3. To return to the Shareholder Account Information page, click on the browser's Back button.

Link Definitions

Return to Menu

Returns to the Management Company Menu.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Check

Displays the dollar amount of the systematic agreement for a redemption check.

ACH Purchase

Displays the dollar amount of the systematic agreement for an ACH purchase.

ACH Redemption

Displays the dollar amount of the systematic agreement for an ACH redemption.

Start Date

Displays the month, date, and year on which the systematic agreement was started.

Stop Date

Displays the day, month, and year on which the systematic agreement will end.

Processing Date(s)

Displays the day(s) of the month on which a systematic agreement will be processed.

Fiduciary Purchase Type

Displays the specified purchase contributor for all systematic purchases into a fiduciary account. The contributors are:

- **employee** = employee contribution
- **employer** = employer contribution

Confirm Frequency

Displays how often statements are sent to confirm systematic purchases into the account.


Month/ Processed/ Contribution Year

Displays Yes, No, or Defer for each month of the year, indicating whether the account is set up for monthly purchases into the account.

6502217 26392450

Vision - Systematic Exchange - Microsoft Internet Explorer

File Edit View Favorites Tools Help

 **GLOBAL PRIME INVESTORS**
Systematic Exchange

28 MFB FUND - MIRRORS GVT FUND 22

Ticker - MGWTF CUSIP - 226300101 Fund Code - 28

Account: 8408 DEBBIE R LOPEZ
Tax ID/SSN: 499-70-4453 507 PACIFIC DR
BELTON MO 64012-2935

Exchange To Fund: 28 MFB FUND - MIRRORS GVT FUND 22
Exchange To Account: 8741

Exchange Option: Dollar Amount	Month	Processed	Contribution Year
Exchange Value: \$50.00	January	Yes	N/A
Processing Date(s): 15-30	February	Yes	N/A
Deduct Fee: No	March	Yes	N/A
Payment Type:	April	Yes	N/A
Discount Category: 99	May	Yes	
Established Date: 05/28/1998	June	Yes	
Fiduciary Redemption Type: Not Applicable	July	Yes	
	August	Yes	
	September	Yes	
	October	Yes	
	November	Yes	
	December	Yes	

[Return To Menu](#) [Help](#)

Copyright © 1998 DST Systems Inc. All Rights Reserved.

Systematic Exchange window

Systematic Exchange

Overview

The Systematic Exchange window displays calendar information and transaction settings for the systematic exchange.

Procedures

1. View the displayed information.
2. To return to the Management Company Menu, select the Return to Menu link.
3. To return to the Shareholder Account Information page, click on the browser's Back button.

Link Definitions

Return to Menu

Returns to the Management Company Menu.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Exchange To Fund

Displays the fund information to which the exchange will be processed.

Exchange To Account

Displays the account number to which the exchange will be processed.

Exchange Option

Displays the type of exchange. The exchange may be:

- dollar amount
 - rate
 - share count
 - declining balance
 - life expectancy float
 - life expectancy fixed
-

Exchange Value

Displays the amount of the exchange. This amount may be displayed as a dollar amount, percent, share amount, or declining balance amount, depending on the exchange option.

Processing Date(s)

Displays the day of the month on which the exchange will be processed.

660627 26352460

Deduct Fee

Displays "Yes" if a fee is charged for the exchange. Displays "No" if no fee is charged.

Payment Type

Displays the type of payment for a CDSC fund. Payment may be:

- gross
- net
- no sales charge

Discount Category

Displays the price break a shareholder will receive on new shares purchased.

Established Date

Displays the date on which the systematic exchange plan was established.

Fiduciary Redemption Type

Displays the specified purchase contributor for all exchange relationships from a non-fiduciary account to a fiduciary account. The purchase contributor may be:

- employee
- employer
- not applicable

Month — Processed — Contribution Year

Displays Yes, No, or Defer for each month of the year, indicating whether the account is set up for monthly exchanges out of the account.

650627 22957450

NOTES

660227 6632450

Chapter 16:

Additional Account Information

This chapter describes the following additional information windows:


- Account Maintenance History
- CDSC Hypothetical Calculation
- Shareholder Account History
- Year-End Summary

These options are arranged in alphabetical order within this chapter.

660621" 48332450

Vision - Maintenance History - IE for DST Systems

File Edit View Go Favorites Help

 GLOBAL PRIME INVESTORS FUNDS

Account Maintenance History

Ticker: CSMMF	NO-LOAD FUND CUSIP: CUSIP9500	Fund Code: 95
---------------	----------------------------------	---------------

Account: 9000065233
Tax ID/SSN: 474-92-4417

SEATTLE FIRST NATL BANK CUST
IRA RONALD KELLERMAN
416 ONION STREET
NORTHFIELD MN 55057

Maint Date	Batch Number	Field Name	Previous Field Value	Current Field Value
06/06/1995	0010895	EXPEDITED-ACCT	N	Y
06/06/1995	0010895	ACH-FLAG	N	Y

Return To Menu Help

Copyright © 1998 DST Systems Inc. All Rights Reserved

Maintenance History window

Account Maintenance History

Overview

The Account Maintenance History window displays maintenance history for the account.

Note: There may be times when you receive a message that no maintenance history records are found for the account. There also may be times when the last maintenance date is listed as being prior to the established date of the account. These conditions occur when an account is established without an initial purchase (the purchase is received at a later date). In these situations, the Maintenance Date field will indicate the original established date for the account. The Establish Date field will indicate the date on which the account initially was funded.

Procedures

1. View the displayed information.
2. To return to the Management Company Menu, select the Return to Menu link.
3. To return to the Shareholder Account Information page, click on the browser's Back button.

Link Definitions

Return to Menu

Returns to the Management Company Menu.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Maint Date

Displays the month, day, and year on which updates that did not affect the share or cash balance were made to the account.

Batch Number

Displays either the data entry number used to group like items together or displays the system-generated batch number assigned to the transaction.

Field Name

Displays the name of the field that was updated.

650227 2232460

Previous Field Value

Displays the value of the specified field before the maintenance transaction was processed.

Current Field Value

Displays the value of the specified field after the maintenance transaction was processed.

650327 26932450

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Description

Displays a description of the transaction, such as the year of the transaction or the transaction type.

Transaction Sequence #

Displays a number indicating the sequence in which the transaction was processed.

Confirmation Date

Displays the month, day, and year on which the transaction was processed.

Transaction ID

Displays the transaction code and suffix. The transaction code and suffix allows a fund to define the specific transaction type for the displayed transaction.

Trade Date

Displays the trade date assigned to the specified transaction. This date is the effective date of the transaction and may or may not be equal to the confirmation date. For financial transactions, this is the date used to determine the share price.

Batch #

Displays either the data entry number used to group like items together or displays the system-generated batch number assigned to the transaction.

Price

Displays the price per share that corresponds to the transaction record.

6506227 26932460

Schedule

Displays whether the transaction occurred before noon ("AM") or after noon ("PM").

Amount

Displays the total dollar amount of the transaction.

Discount Cat

Displays the price break a shareholder will receive on new shares purchased.

Shares

Displays the number of shares corresponding to the transaction.

Cert

Displays whether a certificate was issued for the transaction.

Share Balance

Displays the total share balance of the shareholder's account after the transaction.

650E27 2232460

Vision - CDSC Hypothetical Calculation - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
CDSC Hypothetical Calculation

CLIENT SERVICES SPECIALIZED PORTFOLIOS

Ticker - CSPAF	CUSIP - CUSIP9700	Fund Code - 97
----------------	-------------------	----------------

Account: 6000005096 PAT R KELLER
Tax ID/SSN: 333-11-1223 1055 BROADWAY STE FL 8
KANSAS CITY MO 64105-1575

Total Shares: 18,2480
Account Value: \$200.18

Use the partial redemption method to estimate the CDSC fees paid if a specified number of shares or dollar amount were redeemed from an account.

Use the full redemption method to estimate the CDSC fees paid if all shares in an account were redeemed (e.g. when closing an account).

Use gross to have the CDSC fees taken out of the amount specified.

Use net to add the CDSC fees to amount redeemed.

☐ Partial Redemption or ☐ Full Redemption
☐ Gross or ☐ Net
☐ Dollars or ☐ Shares

Redemption Amount:

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

CDSC Hypothetical Calculation window

CDSC Hypothetical Calculation

Overview

The CDSC Hypothetical Calculation window displays information on contingent deferred sales charge (CDSC) fees for a redemption from the account. Displayed fees are for informational purposes only, and entries on this window will not initiate a redemption transaction.

Procedures

1. Select the following button options to specify the method by which to calculate hypothetical CDSC fee information:
 - To redeem all shares in the account, click the Full Redemption button. Otherwise, the Partial Redemption button will be selected by default and you will be able to enter the number of shares or dollars to be redeemed.
 - To add the CDSC fees to the share/dollar amount redeemed, click the Net button. Otherwise, the Gross button will be selected by default and CDSC fees will be subtracted from the redemption amount you specify.If you selected the Partial Redemption button:
 - To specify a share amount to be redeemed, click the Shares button. Otherwise, the Dollars radio button will be selected by default.
2. If you selected the Partial Redemption button, type the redemption amount (in shares or dollars, as appropriate) in the Redemption Amount field.
3. Click the Calculate push button. The fee amount will be calculated and displayed in the upper portion of the window.

Entry Field Definitions

Redemption Amount

If hypothetical fees are being calculated on a partial redemption, the Redemption Amount field must be completed.

- If the Dollars button is selected, enter the dollar amount of the redemption. Enter whole dollar amounts only.
- If the Shares button is selected, enter the number of whole shares to be redeemed.

Link Definitions


CDSC Fee Description

Displays CDSC information specific to the fund family.

09475337 123059
SECRET 7632460

3 Vision - CDSC Hypothetical Calculation - Microsoft Internet Explorer

File Edit View Favorites Tools Help

 **GLOBAL PRIME INVESTORS FUNDS**
CDSC Hypothetical Calculation

CLIENT SERVICES SPECIALIZED PORTFOLIOS

Ticker: CSPAF CUSIP: CUSIP9700 Fund Code: 97

Account: 6000000034 Tax ID/SSN: 111-22-3333

JOHN A SMITH
JOAN B SMITH JTWROS
1055 BROADWAY ST FL 8
KANSAS CITY MO 64105-1575

Total Shares: 87.9280
Account Value: \$1,679.42

(Actual shares available for redemption may be less)

Amounts are calculated using the previous business day's price

Redeemed Dollars: \$500.00
Redeemed Shares: 48.1230
NAV Per Share: \$10.3900
CDSC Fee: \$4.50
Free Money: \$0.00
*Net Redemption Amount: \$495.50

*Please note: The calculated net redemption amount does NOT include IRS back up withholding. Please contact a fund representative to determine any applicable withholding amounts.

Contingent Deferred Sales Charge (CDSC) hypothetical calculation is one of the new features of Vision, which enables a user to determine the potential sales charge levied for a particular account with a given redemption amount from a CDSC fund. The CDSC hypothetical calculation will allow full or partial redemption calculations, and will display net asset value (NAV), CDSC fee amount, free money, and the redemption proceeds to the shareholder. Partial redemptions can be calculated at gross or net, and can be entered as dollars or shares. All calculations are based on the previous business day's NAV. Free money is the dollar amount currently available for redemption without incurring a sales charge.

Use the **partial redemption** method to estimate the CDSC fees paid if a specified number of shares or dollar amount were redeemed from an account.

Use the **full redemption** method to estimate the CDSC fees paid if all shares in an account were redeemed (e.g. when closing an account).

Use **gross** to have the CDSC fees taken out of the amount specified.

Use **net** to add the CDSC fees to amount redeemed.

☐ Partial Redemption or ☐ Full Redemption
☐ Gross or ☐ Net
☐ Dollars or ☐ Shares

Redemption Amount:

[Return To Menu](#) [Help](#)

Copyright © 1998 DST Systems Inc. All Rights Reserved

CDSC Hypothetical Calculation window

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Redeemed Dollars

Displays the total dollar value of the redemption.

Redeemed Shares

Displays the total share amount of the redemption.

NAV Per Share

Displays the dollar value of one share of the fund as determined by the formula (total assets - total liabilities)/total shares outstanding.

CDSC Fee

Displays the total CDSC fee charged to the redemption.

Free Money

Displays the amount of money in the account that is not subject to CDSC fees.

Check Amount

Displays the total dollar amount that would be issued to the shareholder. (If the Gross redemption option was selected, this amount will be less any CDSC fees.)

650627 2232460

Year End Summary

3 Vision - Year End Summary - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS
1998 - Year End Summary

28 MFB FUND - MIRRORS GVT FUND 22

Ticker: MGVTF CUSIP: 226300101 Fund Code: 28

Account: 8408 DEBBIE R LOPEZ
Tax ID/SSN: 499-70-4453 507 PACIFIC DR
BELTON MO 64012-2935

Reporting Type: Domestic 1099DIV	Dividend Income: \$504,279.38
Estimated Account Value: \$3,156,957.71	Taxable Income: \$224,034.51
Average Assets: \$0.00	Non-taxable Income: \$230,375.60
Foreign Tax Rate: 0%	Long Term Cap Gains: \$212,153.35
Foreign Tax Paid: \$0.00	Short Term Cap Gains: \$49,869.27
	Section 1250 Cap Gains: \$0.00
	Cap Surplus: \$0.00
	Investment Expense: \$0.00

Distributions	Contributions
Gross: \$716,432.73	IRA (Current Year): \$0.00
Non-tax: \$0.00	Employee (Current Year): \$0.00
Premature: \$0.00	IRA (Tax Year): \$0.00
Etc-Exempt: \$0.00	Conversion Roth: \$0.00
Disability: \$0.00	Employee (Tax Year): \$0.00
Death: \$0.00	Employer (Tax Year): \$0.00
Prohibited: \$0.00	Employer (Current Year): \$0.00
Normal: \$0.00	Employer Salary Reduction (Tax Year): \$0.00
Excess: \$0.00	Employer Salary Reduction (Current Year): \$0.00
Simple IRA: \$0.00	Rollover: \$0.00
Education IRA: \$0.00	5498 IRA: \$0.00
Loan Default: \$0.00	5498 SEP/Simple: \$0.00

Withholdings	Reallocations
Dividend: \$0.00	Dividend Income: \$0.00
Redemption: \$0.00	Long Term Cap Gains: \$0.00
Foreign: \$0.00	Short Term Cap Gains: \$0.00
	Section 1250 Cap Gains: \$0.00
	Cap Surplus: \$0.00

Form Status	Tape Status
1099DIV: Not Created	Not Created
1099INT: Not Created	Not Created
1042S: Not Created	Not Created
5498: Not Created	Not Created
1099B: Not Created	Corrected

1997 Year End Summary 1998 Year End Summary

Return To Menu Help

Copyright © 1998 DST Systems Inc. All Rights Reserved.

Year End Summary

This function allows the operator to view information pertaining to fiduciary and non-fiduciary tax reporting for the current and prior tax year including the status of the various IRS forms, distribution information, IRS withholding, and foreign withholding.

Display Field Definitions

Account

Displays the shareholder's account number, as identified by the fund company.

Account Value as of XX/XX/XXXX

Displays the total market value of the account as of the date shown. This field displays when "Prior Tax Year" was selected on the previous window.

Average Assets

Displays the average assets for the account for the taxable year.

Cap Surplus

Displays the capital surplus amount as

- the total from the capital surplus category on the Year End Fund/Account Totals File, or
- the total from the reallocated capital surplus category on the Year End Fund/Account Totals File

This field may display both an original amount and a reallocated amount. A minus sign (-) displays next to any negative amount. There is no original non-taxable income dividend amount. Non-taxable income dividends can be obtained only through reallocation.

Dividend Income

Displays the ordinary income reported in Box1B of the 1099-DIV tax form.

Estimated Account Value

Displays the total market value of the account for the current tax year. This field displays when "Current Tax Year" was selected on the previous window.

Foreign Tax Paid

Displays the total from the foreign tax credit category on the Year End Fund/Account Totals File. This amount should equal the amount displayed under "Foreign tax paid" on both the 1099-DIV form for domestic accounts and on the 1099-INT form.

Foreign Tax Rate

Displays the foreign tax rate that should be withheld from dividend and capital gains distributions paid to a foreign account. This rate is taken from the Voluntary Shareowner Account Master File (A87) on December 31 of the taxable year.

660627 2632460

Investment Expense

Displays the fund expense amount on the Year End Fund/Account Totals File. On the 1099-DIV form, the amount displayed should equal the amount under investment expense.

Long-Term Cap Gains

Displays the long-term capital gains paid per share.

Non-Taxable Income

Displays the non-taxable reallocated income dividend amount from the Year End Year to Date Account Totals file.

Reporting Type

Displays the plan type. Plan types are:

- Foreign 1099
 - Foreign 1042S
 - Foreign Fiduciary-Non-IRA
 - Foreign IRA
 - Domestic 1099
 - Domestic 1042S
 - Domestic Fiduciary-Non-IRA
 - Domestic IRA
-

Return to Menu

Returns to the Management Company menu.

Section 1250 Cap Gains

Displays the section 1250 capital gains paid per share.

Short-Term Cap Gains

Displays the short-term capital gains paid per share.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

660622 2232460

Taxable Income

Displays the taxable income dividend amount from the Year End Year to Date Account Totals file.

Distributions

Death

Displays the total in the death distributions category on the Year End Fund/Account Totals File. This amount appears on the 1099-R form.

Disability

Displays the total in the disability distributions category on the Year End Fund/Account Totals File. This amount will appear on the 1099-R form.

Education IRA

Displays the total amount of distributions from an educational IRA account in the tax year.

Excess

Displays the total in the excess distributions category on the Year End Fund/Account Totals File. This amount appears on the 1099-R form.

Gross

Displays the gross dollar amount determined by the type of 1099 form:

- 1099-DIV—displays the amount under “Gross dividends and other distributions” for domestic accounts. The 1099-DIV amount should equal the sum of the following amounts: ordinary income + long-term capital gains + capital surplus (including the non-taxable income dividends).
 - 1099-INT—displays the amount under “Earnings from Savings and Loan”.
 - 1042S—displays the “Gross amount of income paid”.
-

Loan Default

Displays the total amount of distributions from an account as a result of a loan default during the tax year.

Non-Tax

Displays the non-taxable dividends from reallocated income. This amount comes from the Year End Fund/Account Totals File. Taxable income is the total from the reallocated surplus and the non-taxable income dividend categories on the Year End Fund/Account Totals File.

004763 13099
660627 2692460

Note: On the 1099-DIV form, the amount displayed should equal the amount under "Non-Taxable Distributions" for domestic accounts. There is no original non-taxable income dividend amount. Non-taxable income dividends can be obtained only through reallocation. Only a reallocated amount is possible for this field. A minu sign (-) will appear next to any negative amount.

Normal

Displays the total in the normal distributions category on the Year End Fund/Account Totals File. This amount will appear on the 1099-R form.

Premature

Displays the total in the premature distributions category on the Year End Fund/Account Totals File. This amount will appear on the 1099-R form.

Pre-Exempt

Displays the total amount of life-expectancy withdrawals from fiduciary accounts. Life-expectancy withdrawals taken by shareowners under age 59½ are not subject to the taxes normally imposed on a redemption made to an individual under age 59½.

Prohibited

Displays the total in the prohibited distributions category on the Year End Fund/Account Totals File. This amount will appear on the 1099-R form.

Simple IRA

Displays the total amount of premature taxable distributions from a Simple IRA in the tax year. A premature distribution is a distribution made to an individual who is not yet 59½ years old from an account less than two years old.

Contributions

Conversion Roth

Displays the total contributions that were rolled from another retirement type account into a Conversion ROTH IRA for the tax year.

Employee (Current Year)

Displays the non-IRA contributions made by the employee for the current year. This amount is reported on the 5498 tax form.

0944337 28352450

Employee (Tax Year)

Displays the non-IRA contributions made by the employee between January 1 and April 15 to be applied to the previous tax year's contributions. This amount is reported on the 5498 tax form.

Employer (Current Year)

Displays the SEP employer contributions made in the current year that apply to the current tax year.

Employer (Tax Year)

Displays the non-IRA contributions made by the employer between January 1 and April 15 to be applied to the previous tax year's contributions. This amount is reported on the 5498 tax form.

Employer Salary Reduction (Current Year)

Displays the contributions taken from employer salary reduction plans made in the account for the current year.

Employer Salary Reduction (Tax Year)

Displays the contributions taken from employer salary reduction plans made in the account for the tax year.

5498 IRA

Displays the contributions for an 5498 IRA account. This field is calculated from fields in the Year End (B83) file as follows:

$$\text{IRA-CONTRIBUTIONS-TAX-YEAR} + \text{IRA-CONTRIBUTIONS-CURR-YEAR} + \\ \text{SEP-EMPLOYEE-CONTR-TAX-YEAR} + \text{SEP-EMPLOYEE-CONTR-CURR-YEAR} = \\ \text{5498-IRA-AMT}$$

5498 SEP/Simple

Displays the amount of contributions for an 5498 SEP/Simple IRA account. This field is calculated from fields in the Year End (B83) file as follows:

$$\text{SEP-EMPLYR-CONT-TAX-YR-AMT} + \text{SEP-EMPLYR-CONT-CUR-YR-AMT} + \text{SEP-ER-SAL-RED-TAX-YR-AMT} + \text{SEP-ER-SAL-RED-CUR-YR-AMT} = \text{5498-SEP-SIMPLE-AMT}$$

IRA (Current Year)

Displays the totals from the IRA Contributions, Current Year category on the Year End Fund/Account Totals File.

660627 22332460

IRA (Tax Year)

Displays the totals from the IRA Contributions, Taxable Year category on the Year End Fund/Account Totals File.

Rollover

Displays the total rollover contributions category from the Year End Fund/Account Totals File. This amount will appear on the 5498 form as "Rollover IRA Contributions."

Withholdings**Dividend**

Displays the total in the dividend withholding category on the Year End Fund/Account Totals File. This amount is reported on the 1099-DIV form under Federal Income Tax Withheld.

Foreign

Displays the accumulated total of nonresident alien (NRA) withholdings for foreign shareholders. This amount equals the foreign tax rate multiplied by the total dividend distributions.

Redemption

Displays the total in the redemption withholding category on the Year End Fund/Account Totals File. This amount will appear on the 1099-R in the following boxes:

- Box 1 = Gross Distributions
 - Box 2 = Taxable Amount (distribution category of "3")
-

Reallocations**Cap Surplus**

Displays capital surplus that has been reallocated due to Fund error.

Dividend Income

Displays income dividends that have been reallocated due to Fund error.

Long-Term Cap Gains

Displays long-term capital gains that have been reallocated due to Fund error.

0947337.1209
SECRET

Section 1250 Cap Gains

Displays Section 1250 capital gains that have been reallocated due to Fund error.

Short-Term Cap Gains

Displays short-term capital gains that have been reallocated due to Fund error.

Form/Tape Status

Form/Status

Displays the status of each of the listed forms. A form may be:

- not created
- produced
- corrected
- zeroed

Tape/Status

Displays the status of each of the listed tapes. A tape may be:

- not created
 - produced
 - corrected
 - zeroed
-

660327 22352460

NOTES

SECRET 2692460

Index

%

% of balance 47

3

30 day (yield) 25

A

account 37, 72, 79, 81, 85, 87, 92, 96,
98, 101, 104, 109, 111, 117, 119

account history 70

account list 98

account maintenance history 70

account number 67

Account Search by Dealer Account 49

Account Search by Shareholder Name
57

account summary by rep/advisor 18

Account Summary by Rep/Advisor 45

account value 73

account value as of xx/xx/xx 120

account/tax ID (SSN) 52, 55, 59, 63, 67

additional mail 70

agent for firm 51

alpha code 37, 75

alphabetical by name 67

amount 113

annual (yield) 25

as of 28

assets 43

average assets 120

average cost 70

average maturity (days) 24

B

balance 47

bank account 85

bank account registration 85

bank account type 85

bank instructions 70

Bank Instructions 84

bank name/address 85

batch # 112

batch number 109

branch number 40

C

canceled 87

cap surplus 121, 124

capital gain amount 37

capital gain shares 37

capital gains 73

CDSC fee 117

CDSC fee description 115

CDSC hypothetical calculation 71

CDSC Hypothetical Calculation 114

cert 113

certificate # 87

certificates 71

change password 11, 12

Change Password 11

check 101

check amount 117

classification 93

closed accounts 42

confirm frequency 102

confirmation 36

confirmation date 112

contributions

Employee (current year) 123

Employee (tax year) 123

Employer (tax year) 124

IRA (current year) 123

IRA (tax year) 123

rollover 124

cost basis amount 81, 82

cost per unit 81, 83

cumulative discount number 75, 98

cumulative discount number + zip code
67

current 7-day (yield) 24

current field value 110

current year YTD employee
contribution 93
current year YTD employer
contribution 93

D

daily (yield) 24
daily dividend accrual 73
daily dividend rate 24
date 22, 28
date established 74
dealer account 74
dealer account (BIN) 18, 51
dealer information 18, 71
Dealer Information 39
dealer name 74
dealer net 36
dealer number 40, 46, 66
dealer/branch 35, 74
death 122
deduct fee 105
description 112
disability 122
discount cat 113
discount category 36, 105
distribution information 18
distributions
 disability 122
 death 122
 excess 122
 gross 121
 non-tax 121
 normal 122
 premature 122
 prohibited 122
dividend 123
dividend income 120, 124
dividend rate 31
dividend reinvest price 31
dividend reinvestment 71
dividends 73
DST fund code 28

E

effective 7-day (yield) 24
effective from date 82
employee (current year) 123
employee (tax year) 123
employer (tax year) 124
escrow shares 72
established date 105
excess 122
exchange option 104
exchange to account 104
exchange to fund 104

exchange value 104

F

fiduciary account 71
Fiduciary Information 91
fiduciary purchase type 102
fiduciary redemption type 105
field name 109
firm number 51
first name 58
foreign 123
foreign tax paid 120
foreign tax rate 120
form/status 124
free money 117
fund 47, 99
fund + account number 67
fund and account 19
fund code/fund name 52, 55, 59, 63, 68
fund information 18
Fund Information Help 21
fund name 28, 43
fund number 67

G

gross 35, 121
gross dollars 96
group value amount 98

I

inception to date capital gains 94
inception to date dividends 94
inception to date employee contribution
 94
inception to date employer contribution
 94
inception to date nontaxable
 withdrawals 94
inception to date taxable withdrawals
 95
inception to date withholdings 95
income dividend amount 36
income dividend shares 36
investment expense 121
IRA (current year) 123
IRA (tax year) 123
issued 87
issued shares 72

L

last calculation date 83
last maintenance 74
last maintenance date 79, 82
last name 58

letter of intent number 75
Letter of Intent number 38
LOI number 38
long-term cap gains 120, 124
long-term rate 30
long-term reinvest price 30

M

maint date 109
management code 38
Management Company Menu 17
matrix level 74
middle initial 58
month — processed — contribution
year 102, 105

N

NAV 24, 28
NAV per share 72, 117
net amount 96
net asset value summary 18
Net Asset Value Summary 27
net orders 42
net ROA amount 98
non-tax 121
non-taxable income 120
normal 122
NSCC control number 35
number of accounts 47

O

open accounts 98
operator ID 10, 12
order information 18
order number 34
orders older than 30 days 42
orders older than 60 days 43
orders older than 90 days 43

P

paid purchase orders 43
password 10, 12
payable date 31
payment 36
payment type 105
pending trades 71
Pending Trades 95
percent of balance 47
plan type 92
planholder birthdate 92
planholder marital status 92
prefix 87
premature 122
previous field value 110

price 35, 112
primary beneficiary 93
prior year YTD employee contribution
94
prior year YTD employer contribution
93
processed 36
processing date(s) 102, 105
prohibited 122

R

reallocations
cap surplus 124
dividend income 124
long-term cap gains 124
short-term cap gains 124
record date 30
redeemed dollars 117
redeemed shares 117
redemption 123
redemption amount 115
redemption orders 43
reinvest date 31
relationship 99
rep/advisor 19, 46, 66
rep/advisor name 74
rep/advisor number 74
replacement # 87
report average cost 82
reporting type 119
retrieve accounts across funds 51, 58,
62, 66
retrieve previous date 22, 28
retrieve related accounts 54
return to account lists 72
return to menu 78, 80, 84, 86, 92, 96,
98, 101, 104, 109
Rights of Accumulation 97
rights of accumulation (ROA) 71
rollover 124
routing 85

S

schedule 113
screens
cdsc hypothetical calculation 114
Screens
Account Search by Dealer Account
49
Account Search by Shareholder
Name 57
Account Summary by Rep/Advisor
45
Bank Instructions 84
Change Password 11

Dealer Information 39
Fiduciary Information 91
Fund Information Help 21
Management Company Menu 17
Net Asset Value Summary 27
Pending Trades 95
Rights of Accumulation 97
Shareholder Account History 111
Shareholder Account Information 69
Sign-On 9
Systematic Agreements 100
Systematic Exchange 103
Vision Sign-On 9
Year End Summary 119
secondary beneficiary 93
share balance 113
Shareholder Account History 111
Shareholder Account Information 69
shareholder account number 54
shareholder name 19
shareholder registration 52, 55, 59, 63,
68
shares 35, 47, 81, 83, 87, 96, 113
shares/balance 52, 55, 59, 63, 68
short-term cap gains 120, 124
short-term rate 30
short-term reinvest price 30
short-term shares 37
sign up for Vision 10
Sign-On screen 9
social security number 19, 117
start date 101
state code 58
status 35, 82, 83, 88
stock dividend shares 37
stop date 101
stopped 87
systematic agreement 71
Systematic Agreements 100
systematic exchange 71
Systematic Exchange 103

T

tape/status 125
tax ID 73
TAX ID + zip code 66
tax ID/SSN 79, 81, 85, 87, 92, 96, 98,
101, 104, 109, 112, 119
Tax ID/SSN 117
TAX ID/SSN 19, 62

Tax Identification number 19
taxable income 120
total accounts 99
total accounts by matrix level 42
total assets 42
total orders 42
total shares 72
trade 36
trade date 96, 112
trade description 96
trade NAV 35
tran code/suffix 35
transaction 35
transaction ID 112
transaction sequence # 112

U

unissued shares 72
unpaid purchase orders 43

V

valuation 99
verify password 13
Vision Sign-On 9

W

withholdings
dividend 123
foreign 123
redemption 123

X

xxx mail 79

Y

year end summary 71
Year End Summary 119
year to date capital gains 94
year to date dividends 94
year to date nontaxable withdrawals 94
year to date taxable withdrawals 94
year to date withholdings 94

Z

zip code 66, 67

PRINT OF DRAWINGS
AS ORIGINALLY FILED



Vision Mutual Fund Gateway®

Training Guide

Transactions

November 1999

DST
SYSTEMS

**PRINT OF DRAWINGS
AS ORIGINALLY FILED**

The material is provided to you under a license agreement which restricts disclosure by you of this material. The material herein contains proprietary confidential information and trade secrets of substantial economic value to DST Systems, Inc. Any disclosure or dissemination of this information to persons or concerns not authorized by DST Systems, Inc. is strictly prohibited.

The names of companies, products, people, characters, and/or data mentioned herein are fictitious and are in no way intended to represent any real individual, company, product, or event, unless otherwise noted. DST Systems, Inc. reserves the right to revise this publication and to make changes to its content, at any time, without any obligation to notify any person or entity of such revisions or changes. This document is not a comprehensive technical reference guide and applies only to the version of the software stated herein.

All obligations of DST Systems, Inc. with respect to its systems, software, and services are described solely in written agreements between DST Systems, Inc. and its customers. This document does not constitute any amendment, interpretation, or other modification of any agreement between DST Systems, Inc. and any party.

DST SYSTEMS, INC. IS NOT EXTENDING ANY WARRANTIES OR MAKING ANY REPRESENTATIONS TO ITS CUSTOMER WITH RESPECT TO THE SERVICES OF ANY INTERNET SERVICES PROVIDER OR TO ANY OTHER PRODUCTS OR SERVICES USED OR INSTALLED IN CONJUNCTION WITH THE DST SYSTEMS, INC. SYSTEMS, SOFTWARE AND SERVICES. THE ONLY WARRANTIES AND REPRESENTATIONS THAT DST SYSTEMS, INC. IS MAKING TO ITS CUSTOMER WITH RESPECT TO THE PRODUCTS AND SERVICES OF DST SYSTEMS, INC. ARE THOSE EXPRESSLY STATED IN THE WRITTEN AGREEMENT BETWEEN DST SYSTEMS, INC. AND ITS CUSTOMER. EXCEPT AS SET FORTH THEREIN, ALL SYSTEMS, SOFTWARE, SERVICES, AND RELATED DOCUMENTATION ARE PROVIDED "AS-IS", AND DST SYSTEMS, INC. SPECIFICALLY DISCLAIMS ANY AND ALL REPRESENTATIONS AND WARRANTIES, EXPRESS OR IMPLIED, INCLUDING WITHOUT LIMITATION WARRANTIES OF MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE.

DST SYSTEMS, INC. SHALL NOT BE RESPONSIBLE AND SHALL HAVE NO LIABILITY FOR ANY ACTUAL, SPECIAL, INCIDENTAL, DIRECT, INDIRECT, PUNITIVE, EXEMPLARY OR CONSEQUENTIAL DAMAGES OR ANY DAMAGES WHATSOEVER ARISING OUT OF OR IN CONNECTION WITH IMPROPER INSTALLATION OF SOFTWARE OR FAILURE TO COMPLY WITH THE INSTRUCTIONS CONTAINED HEREIN, AND ANY LIABILITY OF DST SYSTEMS, INC. TO ITS CUSTOMER FOR OTHER DAMAGES OF ANY KIND OR FOR ANY OTHER THING OR MATTER SHALL BE LIMITED AS SET FORTH IN THE AGREEMENT BETWEEN DST SYSTEMS, INC. AND ITS CUSTOMER.

© 1999, DST Systems, Inc. All rights reserved.

TA2000 is a registered trademark of DST Systems, Inc. Other products and company names mentioned herein are the trademarks of their respective owners.

Vision Transaction Training Guide
November 1999

DST Systems, Inc.
333 West 11th Street
Kansas City, MO 64105-1594
www.dstsystems.com

Printed in U.S.A.

650227 2E952460

Contents

Introduction.....	5
What is Vision?	5
Vision Advantages.....	5
Using This Guide.....	6
Security on the Vision Web Site.....	7
Chapter 1: Accessing Vision Mutual Fund Gateway	9
Vision Sign On	9
Change Password.....	11
Vision Internet Agreement	14
Management Company Selection.....	14
Management Company Menu.....	15
Chapter 2: Searching by Dealer Account	19
Account Search by Dealer Account.....	19
Chapter 3: Searching by Fund and Account	25
Account Search by Fund and Account	25
Chapter 4: Searching by Shareholder Name	29
Account Search by Shareholder Name	29
Chapter 5: Searching by Tax ID or Social Security Number	33
Account Search by Tax ID/SSN Help	33
Chapter 6: Searching by Representative/Advisor Number	37
Account Search by Rep/Advisor	37
Chapter 7: Shareholder Account Information	41
Shareholder Account Information	41
Chapter 8: Purchases	47

560627 2632460

Purchase	47
Purchase Verification.....	49
Purchase Confirmation.....	51
Chapter 9: Redemptions	53
Redemption.....	53
Redemption Verification.....	57
Redemption Confirmation	59
CDSC Hypothetical Calculation	61
Chapter 10: Exchanges	65
Exchange	66
Exchange Verification	68
Exchange Confirmation	70
Index	73

Introduction

What is Vision?

DST's Vision Mutual Fund Gateway is an interactive Web site, located at <http://www.dstvision.com> (<http://www.dstvision128.com>), that provides financial intermediaries, such as broker/dealers and financial advisors, the ability to access fund, shareowner account, and dealer information in a real-time environment, through the Internet. Information such as shareowner positions, account options, transaction histories, fund pricing and yields are some of the features available through Vision. With proper authorization, Vision also allows the financial intermediary to execute transactions such as exchange, redemption, and subsequent purchase.

Vision Transaction enables financial intermediaries such as broker/dealers, registered representatives, and financial advisors to process:

- subsequent purchase transactions into an existing account through Automated Clearing House (ACH)
- redemption transactions to shareholder's bank through ACH or check to the address of record
- exchange transactions between existing accounts within the same fund family or from an existing account into a new account within the same fund family.

Vision Advantages

Vision was designed and developed specifically for the financial intermediary. We have focused on providing the financial professional with a user-friendly product that can make a tremendous impact on daily operations efficiency.

Vision provides:

- single logon access for all authorized fund groups
- real-time, up-to-date fund and shareholder account information
- transaction processing
- new account establishment
- intranet and extranet access.

Other Information About Vision

The reference material contained in this manual supplements the on-line help system available through the Vision Web site. You may access this help material by clicking on the Help link at the bottom of any Vision window. The help information is displayed in a separate frame. To move back to the Vision content, close the help frame.

Inquiry and New Account Establishment

For information about the inquiry features of Vision Mutual Fund Gateway, refer to the Vision Inquiry Training Guide. For information about the new account establishment features of Vision Mutual Fund Gateway, refer to the New Account Establishment Training Guide.

Using This Guide

To use the Vision Mutual Fund Gateway to execute purchases, redemptions, and exchanges, you must first log on to the Vision Web site and use Vision search options to locate the appropriate shareholder account. Once you locate the account, the Shareholder Account Information window displays detailed account information, including any transactions that are authorized for this fund family, Operator ID, and account.

The Vision Transaction Training Guide is composed of the following sections:

- Chapter 1: Explains how to log on to the Vision Mutual Fund Gateway Internet site, change your password, or select a fund management company.
- Chapters 2-6: Describes, in detail, how to search for shareholder account information by dealer account, fund and account, shareholder name, Tax ID or Social Security Number, or Representative/Advisor Number.
- Chapter 7: Describes link and display fields on the Shareholder Account Information window.
- Chapter 8-9: Demonstrates how to use Vision to execute purchases, redemptions, and exchanges.

Each chapter includes the following information:

- **Vision Windows**—Images of each Vision window.
- **Overview**—A high-level description of the information displayed on each window.
- **Procedures**—The steps that must be completed on the window before continuing to the next window.
- **Entry Field Definitions**—The name and description of all fields that require entry or selection of information.

- **Display Field Definitions**—The name and description of fields that display information.
- **Link Definitions**—Describes hyperlinks to other windows within Vision.

Security on the Vision Web Site

Vision is secured by operator ID and password. All Vision users will be issued a Vision ID and Password. Sharing an ID is not recommended. When the password expires or is invalid, the user will be prompted for a new or valid password.

See *Chapter 1: Accessing Vision Mutual Fund Gateway* for instructions on entering your operator ID and password, and for accessing the Vision Web site.

660627 26997460

NOTES

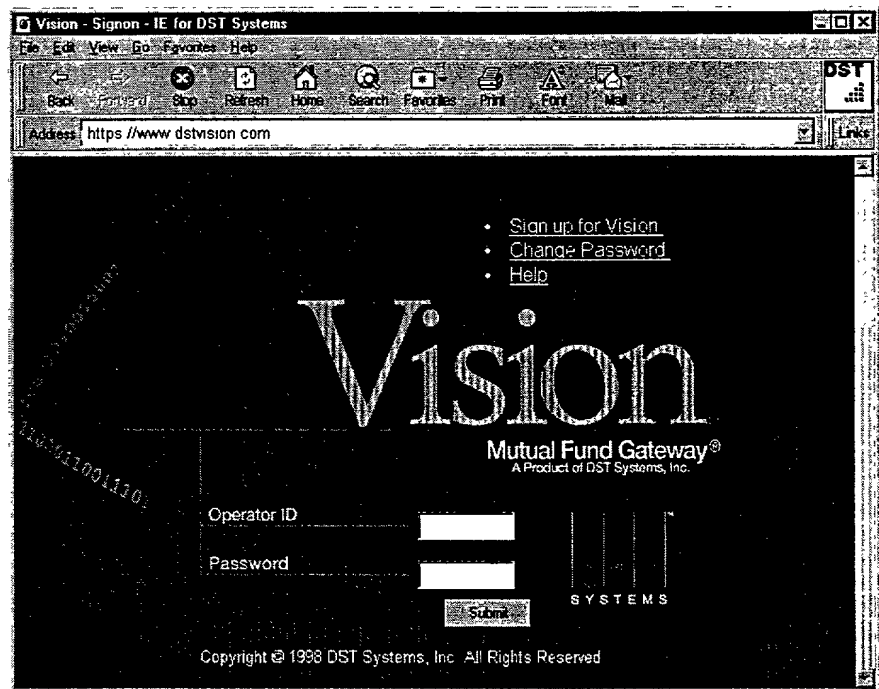
660627 2633/450

Chapter 1:

Accessing Vision Mutual Fund Gateway

Vision may be accessed by typing <http://www.dstvision.com> into the address box of your browser. If the fund requires 128-bit encryption, type <http://www.dstvision128.com>.

Note: Some funds require 128-bit encryption.



Vision Sign On window

Vision Sign On

Overview

The Vision Sign On window enables you to sign on to the system.

All you need to use Vision is an Internet browser. Vision supports the latest versions of Microsoft Internet Explorer and Netscape Navigator/Communicator. A monitor resolution of 800 x 600 is recommended.

Procedures

1. Type your alphanumeric Vision ID in the Operator ID field.
2. Type your password in the Password field
3. Click **Submit**.

The Vision Mutual Fund Gateway Internet Agreement window displays.

Entry Field Definitions

Operator ID

Vision is secured by operator ID, which can be restricted at the dealer, dealer/branch, or dealer/representative level or by tax ID. The type of security associated with your Operator ID will affect the account information displayed on Vision windows. Your ID is assigned by the Vision Group ID and will be from four to eight alphanumeric characters long. To obtain an ID, go to the Vision enrollment Web site at <http://www.dstvisioninfo.com> and complete the online enrollment form. If the ID is not used within seven days of being assigned, or if there is no activity on the ID for 60 days, the ID will be disabled. To reset your ID, contact the DST Help Desk at (800) 228-3574.

Password

Your password must be a minimum of seven and a maximum of eight characters long. The password must contain at least one non-alpha, non-numeric character from the following list: !@#%_&*()-/?_+=/. The password will appear as a series of asterisks. After three incorrect attempts to enter your password, your operator ID will be disabled. To obtain an initial password for your operator ID, contact the Vision group at (816) 843-6712. To reset your password, contact the DST Help Desk at (800) 228-3574.

Note: If your ID is reset, your password will default to the initial password assigned by the Vision Group.

Link Definitions

Sign Up for Vision

The Vision Enrollment Web site contains information about the features and benefits of Vision, as well as the required forms to enroll in Vision or to add funds to your existing account access.

Change Password

The Change Password window allows you to change your Vision password.

Help

All Vision help windows will open a new page of your browser. Please close the Help frame to move back to the Vision content.

This link appears on every page of the Vision site.

http://170.40.72.217/II/VisionTest?bc=Password&cz=b2108180814132719041819&idx=91639454170807092 - Microsoft Internet ...

File Edit View Favorites Tools Help

Vision®
Change Password

Operator ID Re-enter your Vision operator ID
Password Re-enter your Current Vision Password

The new password must be a minimum of 7 and a maximum of 8 characters long and must contain at least one character from the following list:
!@#%&*()-/?+=

Change Password Enter your New Password
Verify Password Re-enter your New Password

Submit

Help

Copyright © 1999 DST Systems, Inc. All rights reserved.

Change Password window

Change Password

Overview

The Change Password window enables you to change your current password. This window should also be used when your password has been reset.

Procedures

1. Type your alphanumeric ID in the Operator ID field.
2. Type your current password in the Password field. If your Vision sign-on ID is disabled, contact the DST Help Desk at 1-800-228-3574 to reset your ID and password.
3. Type your new password in the Change Password field. The password must be a minimum of seven characters and a maximum of 8 characters long and must contain at least one non-alpha, non-numeric character from the following list: !@#%&*()-/?+=.
4. Type your new password a second time in the Verify Password field.


5. Click **Submit**.

Note: Type your new password exactly as you typed it in the Change Password field. If you do not verify your password correctly, an error message will result. Use your browser's back Back button to return to the Change Password window.

650627 2632460

2 Vision - Disclaimer - Microsoft Internet Explorer

File Edit View Favorites Tools Help

 **Vision®**
Agreement

(Please review the terms and conditions of the Vision agreement. To continue, scroll to the end of the agreement and click on "Agree".)

Copyright © 1996, 1997, 1998, 1999, DST Systems, Inc. ("DST"). All rights reserved.

BY USING VISION MUTUAL FUND GATEWAY® ("VISION®"), YOU AGREE TO THE LEGAL TERMS AND CONDITIONS AS FOLLOWS.

The computer system, procedures, databases, and programs created and maintained by DST contain proprietary confidential information and trade secrets of substantial economic value to DST. Any unauthorized use, misuse, or disclosure of such items or information is strictly prohibited and may result in civil liabilities and criminal penalties under applicable law. Vision® and Vision Mutual Fund Gateway® are service marks of DST, and no license, assignment, or permission is granted herein, expressly or implied, by catopel or otherwise to use them, or to use any of the marks affixed to the databases accessed via Vision®.

NEITHER DST NOR THE AFFECTED MUTUAL FUND OR INVESTMENT COMPANY MAKE ANY REPRESENTATIONS AND HEREBY EXCLUDE ANY WARRANTY, EXPRESS OR IMPLIED, ABOUT THE ACCURACY, COMPLETENESS, TIMELINESS OR SUITABILITY FOR ANY PURPOSE OF THE INFORMATION ACCESSIBLE VIA VISION®, OR ABOUT THE PERFORMANCE OR AVAILABILITY OF VISION®, OR ANY DATABASES ACCESSIBLE THROUGH VISION®. ALL SUCH INFORMATION, VISION® AND ACCESSIBLE DATABASES ARE PROVIDED OR MADE AVAILABLE "AS IS." TO THE EXTENT ALLOWED BY APPLICABLE LAW, DST AND THE AFFECTED MUTUAL FUND OR INVESTMENT COMPANY HEREBY DISCLAIM ALL WARRANTIES AND CONDITIONS WITH REGARD TO SUCH INFORMATION, VISION®, AND ACCESSIBLE DATABASES, INCLUDING WITHOUT LIMITATION, ALL IMPLIED WARRANTIES AND CONDITIONS OF MERCHANTABILITY, FITNESS FOR A PARTICULAR PURPOSE AND NON-INFRINGEMENT.

IN NO EVENT SHALL DST, THE AFFECTED MUTUAL FUND, THE AFFECTED INVESTMENT COMPANY OR THEIR AFFILIATES BE LIABLE FOR ANY ACTUAL, SPECIAL, INCIDENTAL, DIRECT, INDIRECT, PUNITIVE, EXEMPLARY OR CONSEQUENTIAL DAMAGES OR ANY DAMAGES WHATSOEVER ARISING OUT OF OR IN CONNECTION WITH THE USE OF VISION®, EFFECTING TRANSACTIONS VIA VISION®, THE INFORMATION ACCESSIBLE VIA VISION®, OR THE RELIANCE THEREON, INCLUDING WITHOUT LIMITATION, DAMAGES ARISING FROM THE LOSS OF PROFITS, MISINFORMATION OR THE RISKS OF THE STOCK MARKET.

Neither you nor any user of Vision® is a third-party beneficiary to any agreement to which DST or its affiliates is a party, including without limitation, any agreements between DST or its affiliates and a mutual fund or investment company.

Neither DST nor the affected mutual fund or investment company shall be responsible for, and you shall hold DST and the affected mutual fund, affected investment company or their affiliates harmless from and against and indemnify DST and the affected mutual fund or affected investment company for any and all expenses, losses, damages, charges, counsel fees, payments and liability which may be asserted against DST and the affected mutual fund, affected investment company, or its affiliates or for which DST and the affected mutual fund, affected investment company or its affiliates may be liable arising out of or attributable to your failure to comply with the legal terms and conditions set forth in Vision® or to your negligence in using Vision® or in using or distributing information accessed via Vision®.

The accuracy, completeness and timeliness of all mutual fund or investment vehicle information provided via Vision® is the sole responsibility of the mutual fund or investment company. The information is not intended to satisfy any compliance or regulatory conditions set forth by any governing body of the securities industry. You or any user is responsible for verifying the accuracy of transactions entered and information as received.

As a provider of financial services or a plan sponsor, you agree that quoted rates and yields for the mutual funds or investment vehicles about which information is accessible via Vision® reflect past performance and do not necessarily indicate future results and that shares of the mutual funds or investment vehicles described or referred to are not deposits or obligations of, or guaranteed or insured by, any bank, the Federal Deposit Insurance Corporation, the Federal Reserve Board, or any other agency, are subject to risk, including possible loss of principal, and will fluctuate in value. All financial determinations, including without limitation suitability determinations, are your responsibility, and not that of DST or the mutual funds, investment companies or their affiliates.

In using the accessed information, you agree to abide by all laws and regulations governing your industry or business, including without limitation the requirement that you not distribute the accessed information to prospective investors unless it is preceded or accompanied by current prospectuses of the funds or investments being offered. You agree not to alter or modify in any way the accessed information or prints or copies of it.

You represent and warrant to DST, the affected mutual fund, the affected investment company and their affiliates that each on-line transaction requested by you, or any information obtained by you, via Vision® is rightful and authorized by the shareholder or participant whose mutual fund account or plan account is affected by a particular transaction or information request. You further acknowledge that this agreement is intended to be, and is, permissive on the part of DST and the mutual funds or investment companies, and not mandatory. DST and the affected mutual fund or investment company may require partial or full documentation before effecting any transaction whenever DST or the affected mutual fund or investment company, in their sole discretion, deem obtaining such documentation to be appropriate or desirable and that not be liable for any loss due to a delay resulting from such request.

DST authorizes you to access only information about a mutual fund or investment company, or certain accounts at the fund or plan, if you have the agreement of the mutual fund or investment company allowing such access. You will make no deliberate attempt to access any information which you do not have permission to access. If you discover that you have access to information you do not have authority to access, you agree to immediately terminate such access and inform DST at 800-435-4112. Although each mutual fund or investment company controls access to information about its fund, investments, accounts, or plans, DST, as provider of Vision® or the affected mutual fund or investment company, may deny any user access without prior notice whenever either DST or the affected mutual fund or investment company in their sole discretion deem it necessary.

Vision Disclaimer window

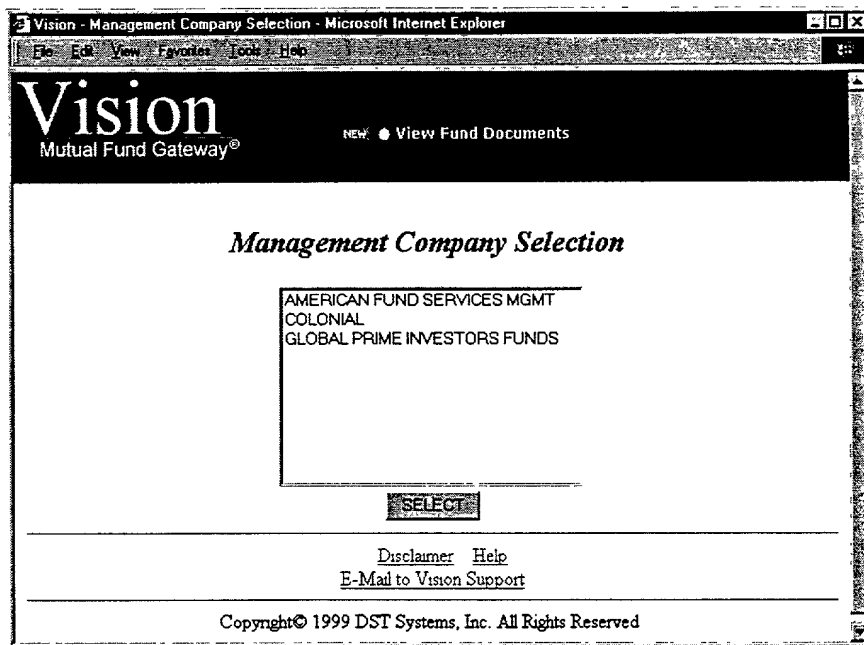
Vision Internet Agreement

Procedures

The Vision Mutual Fund Gateway Internet Agreement appears the first time you log on and will appear every 150 days subsequently for each operator ID. Click **I Agree** once you have read the agreement.

The Management Company Selection window displays. If your Vision ID has access to only one management company, the Management Company Selection window will be bypassed and the management company's Vision Menu window displays.

Management Company Selection



Vision Management Company Selection window

Overview

The Management Company Selection window enables you to select from a list of fund management companies that use Vision Mutual Fund Gateway.

Procedures

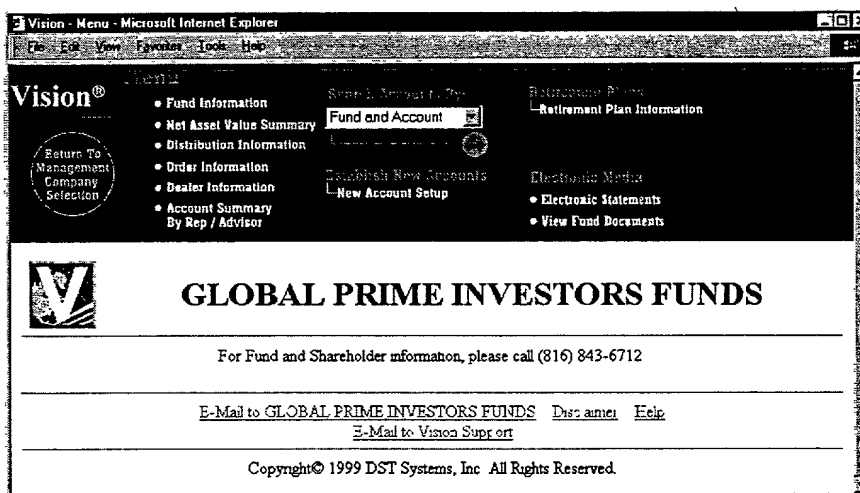
1. Highlight the name of the management company in the list box.

Note: Vision will list only management companies for which you have access. To scroll through the list, click the up or down arrow button.

2. Click **Select**. The Management Company Menu will appear.

Note: To add additional fund management companies to your access privileges, click the Sign Up for Vision hyperlink on the initial Vision Sign-On window. Go to the Vision enrollment site and complete the Additional Funds Request form. Send or fax the form to the Vision group. To go directly to the site, go to <http://www.dstvisioninfo.com>.

Management Company Menu



Management Company Menu

Overview

The Management Company Menu window provides options for accessing detailed information about the management company. Vision transaction functionality is accessed at an account level. To access a list of accounts or a specific account use one of the Search Accounts By topics from the menu page.

Procedures

Click on the desired Search Account By option to display the desired account or list of accounts. The selected window will appear.

Link Definitions

Return to Management Company Selection

Returns you to the Management Company Selection window.

Fund Information

Displays a specific fund's net asset value (NAV), daily dividend rate, yields, total returns, average maturity, redemption charge, and exchange charge for a specified date. The most current information will be displayed unless a specific date is requested.

Net Asset Value Summary

Displays the net asset value (NAV) for each fund within the mutual fund family. The most current information will be displayed unless a specific date is requested.

Distribution Information

Displays a specific fund's dividend and capital gain information (including a record date, dividend and capital gain rate and price, reinvestment price and payable and reinvestment date).

Order Information

Displays specific fund order information (including dealer registration, gross amount, trade price, shares, NAV, dealer net amount, trade date, and sales charge). Order information can be retrieved by entering an order number or an NSCC Fund/Serv control number.

Dealer Information

Displays dealer summary information at the dealer or dealer/branch level. Dealer information includes the dealer's registration, total assets, number of open and closed accounts, total accounts by matrix level, order summary information, and fund level assets.

Account Summary by Rep/Advisor

Displays representative-level account summary information (including fund number, number of accounts by fund, share volume by fund, assets by fund, and totals).

Search Accounts by

Dealer Account (BIN)

Enables you to retrieve shareholder account information by dealer account number within a specific fund or across all funds in that family of funds.

Fund and Account

Enables you to retrieve shareholder account information by fund account number within a specific fund or across all funds in a family of funds.

Shareholder Name

Enables you to retrieve shareholder account information by shareholder within a specific fund or across all funds in a family of funds.

Tax ID/SSN

Enables you to retrieve shareholder account information by shareholder tax ID or social security number within a specific fund or across all funds in a family of funds.

Rep/Advisor

Enables you to retrieve shareholder account information by representative or advisor number within a specific fund or across all funds in a family of funds. You may retrieve and sort accounts by the following criteria:

- Tax ID number and ZIP code
- Cumulative discount number and ZIP code
- Fund number and account number
- Alphabetically by shareholder name

Retirement Plans

Retirement Plan Information

(appears only if the management company supports this option)

This new feature on the Vision Menu provides access to information about defined contribution plans including:

- plan assets and year-to-date contributions
- price and yield information
- summary of plan participants
- loan and withdrawal information by participant

Electronic Media

Electronic Statements

(appears only if the management company supports this option)

Vision users can access, view and print electronic statements that correspond in look, content and format to paper statements. You can search for electronic statements by tax ID/SSN, Rep/Advisor or Shareholder Name. Once you locate the transaction, click the hyperlink to view, download or print an electronic statement including management company information, a portfolio summary, recommended portfolio allocation, earnings summary and year-to-date contributions.

View Fund Documents

(appears only if the management company supports this option)

This feature allows the Vision client to access electronic images of prospectuses, fact sheets and other fund documents. The documents are searchable by SKU (stock-keeping unit), description or document type. Click **Item Image** to view, download and print the document displayed in the Search Results window.

E-Mail to Fund

E-Mail to Fund Hyperlink

(appears only if the management company supports this option)

A hyperlink near the bottom of the Vision Menu opens a window that allows you to e-mail questions and comments directly to the fund management company. The Comments field is required. Add your name, phone number or e-mail address or call the fund company if you would like a response.

6506227 26352460

Chapter 2:

Searching by Dealer Account

Account Search By Dealer Account window

Account Search by Dealer Account

Overview

Vision Transaction functionality is accessed at the account level. The Account Search by Dealer Account (BIN) window enables you to retrieve shareholder account information by dealer account number. You may retrieve accounts within a specific fund or across all funds in the fund family.

Procedures

Searching for and Retrieving Account Information

1. To specify search criteria, complete one of the following options:
 - If you have **dealer, dealer/branch, or dealer/representative level security**, complete the following steps:
 - a. Type the dealer account number in the Dealer Account (BIN) field.
 - b. Click the **Search** push button.
 - c. A list of shareholder accounts will appear.
 - If you have **tax ID-level security or no security**, complete the following steps:
 - a. Type the dealer account number in the Dealer Account (BIN) field.
 - b. Type the firm number (also know as FINS) in the Firm Number field.
 - c. If the dealer account (BIN) has an agent-for-firm relationship, you may enter the agent's ID in the Agent for Firm field (an agent is also known as an executing dealer or correspondent firm). This field is optional.
 - d. Click the **Search** push button.
 - e. A list of shareholder accounts will appear.

To retrieve detailed account information and access the transaction functions, click on the desired account number in the list. The Shareholder Account Information window will appear.

Retrieving Accounts Across Funds

Searching For Accounts by Dealer Account Number

The Retrieve Accounts Across Funds check box will be selected by default. This option enables you to retrieve information for accounts with the same dealer account number within a fund family. To search for an account by dealer in a specific fund only, complete the following steps:

1. Click the Retrieve Accounts Across Funds check box to remove the check mark.
2. Highlight the desired fund from the Select a Fund list box.
3. Complete the remaining fields as instructed in Searching for and Retrieving Account Information above.

Entry Field Definitions

Retrieve Accounts Across Funds

When selected, this option will retrieve information for all accounts in a fund family that have the same dealer account number.

Dealer Account (BIN)

This number is used by the dealer to identify a client's account. Dealer account number is also referred to as broker identification number (BIN) or external account number.

Firm Number

This number is used to identify the firm. It is sometimes referred to as FINS (Financial Institution Numbering System). Depending on the security, this field may not be displayed.

Agent for Firm

This ID identifies the agent for firm. Agent for firm is also known as the executing dealer or correspondent firm, (a dealer who has an agreement to process NSCC trades for another dealer). This field is optional. Depending on the security, this field may not be displayed.

09475637-123099

Account Tax ID (SSN)	Fund Code/Fund Name	Shareholder Registration	Shares/Balance
500000018 407-52-2623	34 CLIENT SERVICES MONEY MARKET FUND	JOHN P KELLER 7914 NW 76TH TER	153.6690 \$ 2,979.64
500000019 407-52-2623	97 CLIENT SERVICES SPECIALIZED PORTFOLIOS	INVESTORS FIDUCIARY TRUST CO IRA R/O J PATRICK KELLER	32,233.3010 \$ 367,627.91
			Total Balance: \$ 370,607.55

Select a Fund

- 0000096 - CLIENT SERVICES LOAD FUND
- 0000093 - CLIENT SERVICES LOAD TEST FUND
- 0000034 - CLIENT SERVICES MONEY MARKET FUND
- 0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
- 0000095 - NO-LOAD FUND

☒ Retrieve accounts across funds

Dealer Account (BIN): ABC123XYZ

Firm Number (Required): 00011

Agent For Firm (Optional):

Search

[Return to Menu](#) [Disclaimer](#) [Help](#)

©1999 DST Systems, Inc. All Rights Reserved

Account Search By Dealer Account (BIN) window

Display Field Definitions

(Listed in window order.)

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Fund Code/Fund Name

Displays the numeric code used to identify a fund on TA2000® and the full fund name.

Shareholder Registration

Displays the first two lines of shareholder registration retrieved from the Voluntary Shareowner Account Master File.

**PRINT OF DRAWINGS
AS ORIGINALLY FILED**

VIEWPOINT DRAWINGS - Drawing Code

Searching by Dealer Account

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

Total Account Balance

Displays the total of all amounts in the Shares/Balance column at the end of the Search Results list. If there is more than one page of results, the Total Account Balance will appear at the end of the list on the last page of results.

6606227 26352450

NOTES

09475637 433099
660E2F 2E937460

Chapter 3:

Searching by Fund and Account

Account Search By Fund and Account window

Account Search by Fund and Account

Overview

Vision Transaction functionality is accessed at the account level. The Account Search by Fund and Account window enables you to retrieve shareholder account information by fund and account number. You may retrieve related accounts across all funds within that family of funds. The related account criteria is determined by the mutual fund company, and may vary between fund companies.

Procedures

1. To retrieve accounts within a specific fund, highlight the desired fund in the Select a Fund scroll box.
2. Type the account number in the Shareholder Account Number field.
3. To retrieve related accounts across funds, select the Retrieve Related Accounts check box.
4. Click the **Search** push button.

A list of accounts that match your search criteria will be displayed.

To retrieve detailed account information and the transaction functions, click on the desired account number in the list. The Shareholder Account Information window will appear.

Entry Field Definitions

Shareholder Account Number

Enter the shareholder's account number, as identified by the mutual fund company.

Retrieve Related Accounts

When selected, all accounts, related to the shareholder account entered, will be retrieved. The fund defines how accounts are related (for example, by tax ID number, ZIP code, or cumulative discount number).

09475637 123099
660627 26352460

Account/ Tax ID (SSN)	Fund Code/ Fund Name	Shareholder Registration	Shares/ Balance
54592 497-82-2633	97 CLIENT SERVICES SPECIALIZED PORTFOLIOS	INVESTORS FIDUCIARY TRUST CO IRA R/O PATRICK KELLER	35,333.2010 \$ 387,827.91

Total Balance: \$ 387,827.91

Select a Fund

- 0000096 - CLIENT SERVICES LOAD FUND
- 0000093 - CLIENT SERVICES LOAD TEST FUND
- 0000034 - CLIENT SERVICES MONEY MARKET FUND
- 0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
- 0000095 - NO-LOAD FUND

Shareholder Account Number: 54592

☐ Retrieve related accounts

Search

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Account Search By Fund and Account window

Display Field Definitions

(Listed in window order.)

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Fund Code/Fund Name

Displays the numeric code used to identify the fund on TA2000 and the full fund name.

Shareholder Registration

Displays the first two lines of shareholder registration retrieved from the Voluntary Shareowner Account Master File (A87).

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

Total Account Balance

Displays the total of all amounts in the Shares/Balance column at the end of the Search Results list. If there is more than one page of results, the Total Account Balance will appear at the end of the list on the last page of results.

Note: This search can display the Total Account Balance for a maximum of 200 accounts.

660627 2632460

Chapter 4:

Searching by Shareholder Name

Vision - Account Search By Shareholder Name - IE for DST Systems

File Edit View Go Favorites Help

GLOBAL PRIME INVESTORS FUNDS
Account Search By Shareholder Name

Select a Fund

- 0000096 - CLIENT SERVICES LOAD FUND
- 0000093 - CLIENT SERVICES LOAD TEST FUND
- 0000034 - CLIENT SERVICES MONEY MARKET FUND
- 0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
- 0000095 - NO-LOAD FUND

☐ Retrieve accounts across funds

Last Name: Keller

First Name (Optional):

Middle Initial (Optional):

State (Optional): You May Select a State

Search

Return To Menu Help

Account Search By Shareholder Name window

Account Search by Shareholder Name

Overview

Vision Transaction functionality is accessed at the account level. The Account Search by Shareholder Name window enables you to retrieve shareholder account information by shareholder name. You may retrieve accounts across funds in the same fund family.

Procedures

1. To retrieve accounts within a specific fund, highlight the desired fund in the Select a Fund scroll box.
2. To retrieve information for accounts with the same shareholder registration across a fund family, select the Retrieve Accounts Across Funds check box.

3. Type the shareholder's last name in the Last Name field. At least two characters of the last name are required.
4. To further limit the search, complete one or more of the following optional fields:
 - Type the shareholder's first name in the First Name field.
 - Type the shareholder's middle initial in the Middle Initial field.
 - Type the shareholder's state code in the State Code field.
5. Click the Search push button.

A list of accounts that match your search criteria will be displayed.

To retrieve detailed account information and access the transaction functions, click on the desired account number in the list. The Shareholder Account Information window will appear.

Entry Field Definitions

Retrieve Accounts Across Funds

When selected, this check box will retrieve information for all accounts in a fund family that have the same shareholder registration.

Last Name

This name is the shareholder's last name on the account registration. At least two characters of the last name are required.

First Name

This name is the shareholder's first name on the account registration. This field is optional.

Middle Initial

This initial is the first letter of the shareholder's middle name on the account registration. This field is optional.

State Code

This code is the two-letter abbreviation for the state listed on the shareholder's account registration. This field is optional.

09475637 42909
660427 283460

Account/ Tax ID (SSN)	Fund Code/ Fund Name	Shareholder Registration	Shares/ Balance
0000000960 497-62-2325	34 CLIENT SERVICES MONEY MARKET FUND	PAT P KELLER 11812 AVILA DR	13,9440 \$ 262.51

Select a Fund

- 0000036 - CLIENT SERVICES LOAD FUND
- 0000033 - CLIENT SERVICES LOAD TEST FUND
- 0000034 - CLIENT SERVICES MONEY MARKET FUND
- 0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
- 0000095 - NO-LOAD FUND

☒ Retrieve accounts across funds

Last Name: KELLER

First Name (Optional):

Account Search By Shareholder Name window

Display Field Definitions

(Listed in window order.)

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account.

Fund Code/Fund Name

Displays the numeric code used to identify a fund on TA2000® and the full fund name.

Shareholder Registration

Displays the first two lines of shareholder registration retrieved from the Voluntary Shareowner Account Master File (A87).

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

NOTES

004337-4309
"2E952450"

Chapter 5:

Searching by Tax ID or Social Security Number

Vision - Account Search by Tax ID / SSN - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
Account Search By Tax ID / SSN

Select a Fund

- 0000096 - CLIENT SERVICES LOAD FUND
- 0000093 - CLIENT SERVICES LOAD TEST FUND
- 0000034 - CLIENT SERVICES MONEY MARKET FUND
- 0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
- 0000095 - NO-LOAD FUND

☒ Retrieve accounts across funds

Tax ID / SSN:

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved

Account Search by Tax ID/SSN window

Account Search by Tax ID/SSN Help

Overview

Vision Transaction functionality is accessed at the account level. The Account Search by Tax ID/SSN window enables you to retrieve shareholder account information by tax ID or Social Security number. You may retrieve accounts across all funds in the fund family.

Procedures

1. To retrieve accounts within a specific fund, highlight the desired fund in the Select a Fund scroll box.
2. The Retrieve Accounts Across Funds check box is selected by default. This allows you to retrieve a list of accounts across the fund family. If you do not want to retrieve a list of all accounts in the fund family that are related by tax ID or Social Security Number, select this check box again to remove the option.
3. Type the shareholder's tax ID or Social Security Number in the Tax ID/SSN field.
4. Click the Search push button. A list of accounts that match your search criteria will be displayed.
5. To retrieve detailed account information and access transaction functions, click on the desired account number in the list. The Shareholder Account Information window will appear.

Entry Field Definitions

Retrieve Accounts Across Funds

When selected, this option will retrieve information for all accounts in a fund family that have the same shareholder tax ID or Social Security Number. This option is selected by default.

Tax ID/SSN

This number uniquely identifies the shareholder. You may enter the shareholder's tax ID number or Social Security Number.

0347537 12099
650621 26952460

Account / Tax ID (SSN)	Fund Code / Fund Name	Shareholder Registration	Shares / Balance
6147 47-82-2623	96 CLIENT SERVICES LOAD FUND	INVESTORY FIDUCIARY TRUST CO CUST FOR THE IRA OF	361.3650 \$ 20,022.17
00000018 47-82-2623	96 CLIENT SERVICES LOAD FUND	JOHN P KELLER 7914 NW 76TH TER	0.0000 \$ 0.00
00000024 47-82-2623	96 CLIENT SERVICES LOAD FUND	JOHN P KELLER MARILYN P KELLER JT WROR	0.0000 \$ 214.04
Total Balance:			\$ 20,306.21

Select a Fund

- 0000096 - CLIENT SERVICES LOAD FUND
- 0000093 - CLIENT SERVICES LOAD TEST FUND
- 0000034 - CLIENT SERVICES MONEY MARKET FUND
- 0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
- 0000095 - NO-LOAD FUND

Retrieve accounts across funds

Tax ID / SSN: 497822823

Search

Return to Menu Log Out Help

Copyright © 1999 DST Systems, Inc. All Rights Reserved

Account Search by Tax ID/SSN window

Display Field Definitions

(Listed in window order.)

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Fund Code/Fund Name

Displays the numeric code used to identify a fund on TA2000 and the full fund name.

Shareholder Registration

Displays the first two lines of shareholder registration retrieved from the Voluntary Shareowner Account Master File (A87).

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

Total Account Balance

Displays the total of all amounts in the Shares/Balance column at the end of the Search Results list. If there is more than one page of results, the Total Account Balance will appear at the end of the list on the last page of results.

09475637 123099
660621 2695460

Chapter 6:

Searching by Representative/Advisor Number

Account Search by Rep/Advisor window

Account Search by Rep/Advisor

Overview

The Account Search by Rep/Advisor window enables you to retrieve shareholder account information by representative or advisor. You may retrieve accounts across all funds in the fund family.

Procedures

1. To retrieve accounts within a specific fund, highlight the desired fund in the Select a Fund scroll box.

2. The Retrieve Accounts Across Funds check box is selected by default. This allows you to retrieve a list of accounts across the fund family. If you do not want to retrieve a list of all accounts in the fund family, select this check box again to remove the option.
3. Type the dealer number in the Dealer Number field. Depending on your security level, this field may be pre-filled or the field may be replaced by a drop down list displaying valid dealer numbers from which to select.
4. Type either the representative or advisor number in the Rep/Advisor Number field. Depending on your security level, this field may be pre-filled or the field may be replaced by a drop down list displaying valid representative/advisor numbers from which to select.
5. The Tax ID + ZIP Code sort criteria is selected by default. To sort the returned list of accounts in a different order, select the desired button.
6. Click the Search push button.

A list of accounts that match your search criteria will be displayed.

To retrieve detailed account information, click on the desired account number in the list. The Shareholder Account Information window will appear.

Entry Field Definitions

Retrieve Accounts Across Funds

When selected, this check box will retrieve information for all accounts in a fund family that have the same representative/advisor number.

Dealer Number

This number is used by the fund to identify the dealer. Depending on your security level, this field may be pre-filled or the field may be replaced by a drop down list displaying valid dealer numbers from which to select.

Rep/Advisor

This number identifies the representative or advisor assigned to the account. Depending on your security level, this field may be pre-filled or the field may be replaced by a drop down list displaying valid representative/advisor numbers from which to select.

Tax ID + ZIP Code

When selected, this button causes the returned list of accounts to be displayed in tax ID and ZIP code order.

Cumulative Discount Number + ZIP Code

When selected, this radio button causes the returned list of accounts to be displayed in cumulative discount number and ZIP code order.

Fund + Account Number

When selected, this button causes the returned list of accounts to be displayed in fund name and account number order.

Alphabetical by Name

When selected, this button causes the returned list of accounts to be displayed in alphabetical order by shareholder name.

GLOBAL PRIME INVESTORS FUNDS
Account Search By Rep / Advisor

(Please click on the account number of the account you wish to view.)

Account/ Tax ID (SSN)	Fund Code/ Fund Name	Shareholder Registration	Shares/ Balance
0000000000 111-11-1111	96 CLIENT SERVICES LOAD FUND	KELLER HENNIER 1234 LOCUST	1.3800 \$ 77.24
0000000173 112-11-0630	96 CLIENT SERVICES LOAD FUND	MARY C BRADY 1055 BROADWAY ST FLA	17.2030 \$ 990.12
0000000288 222-22-2222	96 CLIENT SERVICES LOAD FUND	PAT P KELLER 11817 AVILA DR	13.8800 \$ 772.31
Total Balance:			\$ 20,466.04

Select a Fund

00000096 - CLIENT SERVICES LOAD FUND
00000093 - CLIENT SERVICES LOAD TEST FUND
00000034 - CLIENT SERVICES MONEY MARKET FUND
00000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
00000095 - NO-LOAD FUND

Retrieve accounts across funds

Dealer Number: 11111
Rep / Advisor Number: 1234

Select Sort Criteria

☐ Tax ID + ZIP Code
☐ Cumulative Discount Number + ZIP Code
☐ Fund + Account Number
☐ Alphabetical by Name

Search

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved

Account Search By Rep/Advisor window

Display Field Definitions

(Listed in window order.)

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Fund Code/Fund Name

Displays the numeric code used to identify the fund on TA2000® and the full fund name.

Shareholder Registration

Displays the first two lines of the shareholder registration retrieved from the Voluntary Shareowner Account Master File (A87).

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

Total Account Balance

Displays the total of all amounts in the Shares/Balance column at the end of the Search Results list. If there is more than one page of results, the Total Account Balance will appear at the end of the list on the last page of results.

Chapter 7:

Shareholder Account Information

0947367 2232460

Shareholder Account Information - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS FUNDS
Shareholder Account Information
Today's Date: 06/29/1999

Ticker: CSPAF CUSIP: CUSIP9700 Fund Code: 97

Account: 5000000218 Account History JOHN P KELLER
7914 NW 76TH TER
KANSAS CITY MO 64152-4419

Total Shares:	384.9860	Date Established:	10/23/1998
Issued Shares:	0.0000	Last Maintenance:	10/19/1998
Unissued Shares:	384.9860	Dealer Name:	MIDWEST BROKERAGE
Escrow Shares:	120.0000	Dealer / Branch:	0011111 / 111
NAV per Share:	\$10.9700	Rep / Advisor Name:	
NAV as of Date:	06/29/1999	Dealer Account:	
Account Value:	\$4,223.30	Rep / Advisor Number:	1234
Net Pending (Reinvest)		Matrix Level:	0
Distribution Amount:	\$0.00	Alpha Code:	KELLEJOHNP
Net Pending (Cash)		Cumulative Discount Number:	0
Distribution Amount:	\$0.00	Letter of Intent Number:	000043203
Daily Dividend Accrual:	\$0.00		
Capital Gains: Reinvest			
Dividends: Reinvest			
Tax ID: 497-82-2623			

Account Options	Additional Information	Transactions
<ul style="list-style-type: none"> Audio Response Correspondence Pending Language English Telephone Exchange 	<ul style="list-style-type: none"> Account History Account Maintenance History CDSC Hypothetical Calculation Dealer Information Year End Summary 	<ul style="list-style-type: none"> Exchange

Return to Account List Link to Shareholder Account

Copyright © 1999 DST Systems, Inc. All Rights Reserved

Shareholder Account Information window

Shareholder Account Information

Overview

The Shareholder Account Information window displays general account information and enables you to retrieve additional information relating to the

account, and as well as process transactions. Transaction functionality links are dynamically displayed based on three criteria:

- the fund family must offer purchase, redeem, or exchange through Vision
- the fund family must have previously authorized and set up your Vision sign on ID to access purchase, redeem, or exchange
- the shareholder account options must meet the minimum criteria to allow purchase, redeem, or exchange (i.e. is the account set up with ACH and bank instructions?).

If a transaction functionality link is not displayed, contact your fund client service representative to review the transaction functionality criteria.

Procedures

1. View the displayed account information.
2. To process a purchase, redeem, or exchange, click one of the highlighted transaction links displayed under the 'Transactions' heading at the bottom of the window.

Note: Displayed links will vary depending on the options established for the fund, account, and ID.

3. The selected window will appear.

Link Definitions

Exchange, Purchase and Redeem links only are defined in this guide. Definitions for the complete list of 'Account Options' and 'Additional Options' links are outlined in the Vision Inquiry Training Guide.

Exchange

Allows you to exchange shares out of the currently displayed account and in to a new or selected account.

Purchase

Allows you to purchase shares for the currently displayed account.

Redeem

Allows you to redeem shares from the currently displayed account.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Total Shares

Displays the current share balance of the account.

Issued Shares

Displays the number of shares that are in certificate form.

Unissued Shares

Displays the number of shares in the account that do not have issued certificates.

Escrow Shares

Displays the number of escrow shares held in the account. Escrow shares are held in custody by the transfer agent, pending successful completion of a letter of intent (LOI). Usually, the escrow share amount is equal to five percent of the LOI dollar amount.

NAV Per Share

Displays the dollar value of one share of the fund. Value is determined by the formula (total assets - total liabilities)/total shares outstanding.

NAV as of Date

Displays the date the NAV (net asset value) was calculated.

Note: The NAV date is not necessarily the same as the current date.

Account Value

Displays the dollar value of the account. Account value is determined by multiplying the sum of the issued and unissued shares by the net asset value.

Pending Distributions (Reinvest)

Displays the dollar amount of pending reinvestment distributions. This field displays any of the following distribution types:

- reinvest income dividends
 - reinvest short term capital gains
 - reinvest long term capital gains
 - any other miscellaneous reinvestment distribution amounts.
-

Pending Distributions (Cash)

Displays the dollar amount of pending cash distributions. This field displays any of the following distribution types:

- cash income dividends

- cash short term capital gains
 - cash long term capital gains
 - any other miscellaneous cash distribution amounts.
-

Daily Dividend Accrual

Displays the dividend amount that has accrued within the account since the last dividend payment. This applies to daily dividend funds only.

Capital Gains

Displays the method for distributing capital gains: reinvest or pay in cash.

Dividends

Displays the method for distributing dividends: reinvest or pay in cash.

Tax ID

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

05473637 123099
660521 2695460

Date Established

Displays the date that the shareholder's account was established with the fund. (If the last maintenance date displayed for the account is before the date established, the Date Established field will indicate the date the account was first funded).

Last Maintenance

Displays the most recent voluntary update to the file.

Dealer Name

Displays the dealer firm name.

Dealer/Branch

Displays the dealer number and branch number used by the fund company for dealer and branch identification.

Rep/Advisor Name

Displays the name of the representative on the account.

Rep/Advisor Number

Displays the number assigned to the dealer representative on the account.

Dealer Account

Displays the number used by the dealer to identify a client's account.

Matrix Level

Displays one of five values to indicate the level of dealer control:

- 0 = non-networked broker account
- 1 = broker control IRA margin account
- 2 = customer name brokerage account
- 3 = broker control brokerage account
- 4 = fund controlled brokerage account

Alpha Code

Displays a shareholder's alpha code. An alpha code is a ten-character code that can be formatted in one of the following ways:

- the entire last name (up to ten characters) followed by as much of the first name as possible
- (5-4-1) the first five letters of the last name, the first four letters of the first name, and the middle initial. If the first or last name does not have the

09475637 123099
660327 239460

required number of letters or if a middle initial is not supplied, hyphens (-) will complete the spaces.

Cumulative Discount Number

Displays the cumulative discount (cum disc) number. A cumulative discount number links shareholder accounts to provide purchase discount pricing and to provide for group reporting purposes.

Letter of Intent Number

Displays the letter of intent (LOI) number. An LOI is a contractual agreement between a shareholder and a dealer stating that the shareholder will invest a certain dollar amount within a specific 13-month period for a specified reduction in price.

660627 26952450

Chapter 8:

Purchases

Purchase will appear as an available transaction on the Shareholder Account Information page only if it is authorized for the fund family, Operator ID, and account. Click the Purchase hyperlink on the Shareholder Account Information page to open the Purchase window.

Vision - Purchase - IE for DST Systems

File Edit View Go Favorites Help

GLOBAL PRIME INVESTORS
Purchase

28 MFB FUND - MIRRORS GVT FUND 22

Ticker: MGVTF CUSIP: 226300101 Fund Code: 28

Account: 8408 Tax ID/SSN: 499-30-4453

DEBBIE R. LOPEZ
307 PACIFIC DR.
BELTON MO 64012-1935

Total Shares: 235,242.7500
Account Value: \$3,161,662.56

Share balance may be affected by recent account activity. See Pending Trades

(Decimal point not required on whole dollar trades, see Help for examples)

Dollar Amount: \$

Continue

Purchase window

Purchase

Overview

The Purchase window displays total shares and account value information and enables you to purchase additional shares for the account. Subsequent automated clearing house (ACH) purchase transactions allow movement of money from a shareholder's bank account to his or her mutual fund account. The trade date for settlement of the account will be determined by the fund's ACH processing rules. Purchase transactions for existing accounts (subsequent purchases) are supported if the shareholder has sufficient bank information with the fund.

Procedures

1. Enter the dollar amount for which you want to purchase shares. Whole dollar trades do not require a decimal point. For example, to purchase five hundred dollars worth of shares, enter **500** — not **500.00**. Transactions with cents require a decimal point. For example, to purchase five hundred dollars and sixty-six cents worth of shares, enter **500.66**. Only two decimal points are read. The amount is not rounded up or down. For example, 500.6679 dollars will be read as 500.66 dollars.
2. Click the Continue push button. The Purchase Verification window will appear.

Entry Field Definitions

Dollar Amount

Enter the dollar amount of the purchase. Whole dollar trades do not require a decimal point. For example, to purchase five hundred dollars worth of shares, enter **500**. Transactions with cents require a decimal point. For example, to purchase five hundred dollars and sixty-six cents worth of shares, enter **500.66**. Only two decimal points are read. The amount is not rounded up or down. For example, 500.6679 dollars will be read as 500.66 dollars.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Total Shares

Displays the current share balance of the account.

Account Value

Displays the dollar value of the account. Account value is determined by multiplying the sum of the issued and unissued shares by the net asset value.

The screenshot shows a web browser window titled "Vision - Purchase - IE for DST Systems". The page header includes "GLOBAL PRIME INVESTORS" and "Purchase". Below this, a table displays purchase details: Ticker: MOVTF, CUSIP: 226300101, and Fund Code: 22. The account number is 8408, and the tax ID/SSN is 499-70-4453. The investor's name is DEBBIE R. LOPEZ, with an address at 307 PACIFIC DR, BELTON, MO 64012-2935. The "Purchase Verification" section states: "You have requested to purchase \$500.00 worth of shares in 28 MFB FUND - MIRRORS GVI FUND 22, account number 8408. The fund company reserves the right to reject this transaction. If this transaction is approved by the fund company, the amount will be withdrawn from the bank account of record. If you do not want to purchase these shares, select CANCEL." At the bottom of this section are two buttons: "Confirm Purchase" and "CANCEL". Below the buttons is a link: "Return To Shareholder Account Information Help". The footer of the page reads: "Copyright © 1998 DST Systems Inc. All Rights Reserved."

Purchase Verification window

Purchase Verification

Overview

The Purchase Verification window enables you to review and confirm, cancel or modify the purchase information before the transaction is placed.

Procedures

1. Review the purchase transaction information carefully.
2. Click one of the following push buttons:
 - To **accept** the displayed purchase information, click the Confirm Purchase push button. The transaction will be submitted to the fund company. The Purchase Confirmation window will appear.
 - To **reject** the displayed purchase information, click the Cancel push button. The transaction will not be submitted to the fund company. The previous window will appear.
 - To **modify** the displayed purchase information, click the browser's Back button. The purchase entry window will be re-displayed to allow changes to the dollar amount.

Link Definitions

Return to Shareholder Account Information

Returns you to the main Shareholder Account Information window.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the shareholder's account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Purchase Verification

Displays transaction information for review associated with the purchase, including the amount of the purchase, the fund number and name, and the account number.

660627 2E33/460

The screenshot shows a web browser window titled "Vision - Purchase - IE for DST Systems". The page header includes "GLOBAL PRIME INVESTORS" and "Purchase". Below this, a table displays transaction details: Ticker: MGVTF, 28 MPB FUND - MIRRORS GVT FUND 22, CUSIP: 226300101, and Fund Code: 28. Account information includes Account: 8408, Tax ID/SSN: 409-70-4453, and contact details for Debbie R. Lopez at 501 Pacific Dr., Belton, MO 64012-2935. A "Purchase Confirmation" section states that a request to buy \$500.00 worth of shares has been approved, with a reference number of 9911103. At the bottom, there is a "Return To Shareholder Account Information" link and a copyright notice for DST Systems Inc. 1998.

Ticker: MGVTF	28 MPB FUND - MIRRORS GVT FUND 22	CUSIP: 226300101	Fund Code: 28
Account: 8408	DEBBIE R. LOPEZ		
Tax ID/SSN: 409-70-4453	501 PACIFIC DR.		
	BELTON MO 64012-2935		

Purchase Confirmation

You have approved a request to buy \$500.00 worth of shares in the 28 MPB FUND - MIRRORS GVT FUND 22, account number 8408. The fund company reserves the right to reject this transaction. If this transaction is approved by the fund company, the amount will be withdrawn from the bank account 123. If the shareholder does not receive a written confirmation of this transaction, please contact the fund company at 1-800-421-0180.

The reference number for this transaction is 9911103.

[Return To Shareholder Account Information](#) [Help](#)

Copyright © 1998 DST Systems Inc. All Rights Reserved.

Purchase Confirmation window

Purchase Confirmation

Overview

The Purchase Confirmation window displays the purchase information submitted to the fund company and provides you with the transaction reference number. The fund company's support phone number is included on the confirmation window in the event the transaction needs to be modified or canceled.

Procedures

1. Review the submitted purchase transaction information.
2. Retain the transaction reference number for future reference.

Link Definitions

Return to Shareholder Account Information

Returns you to the main Shareholder Account Information window.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the shareholder's account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Purchase Confirmation

Displays the purchase information submitted to the fund company including the amount of the purchase, the fund number and name, account number, and the transaction reference number.

660627 2632460

Chapter 9:

Redemptions

Redemption will appear as an available transaction on the Shareholder Account Information page only if it is authorized for the fund family, Operator ID, and account. Click the Redeem hyperlink on the Shareholder Account Information page to open the Redemption window.

Vision - Redemption - IE for DST Systems

File Edit View Go Favorites Help

GLOBAL PRIME INVESTORS

Redemption

24 MFB FUND - MIRRORS GYT FUND ZZ

Ticker: MGVTF CUSIP: 226300101 Fund Code: 22

Account: 8408 Tax ID/SSN: 409-70-4453

DEBBIE R LOPEZ
507 PACIFIC DR
BELTON MO 64012-2935

Total Shares: 235,242,750
Account Value: \$1,161,662.56

(Actual shares available for redemption may be less)

Share balance may be affected by recent account activity. See Pending Trades

(Decimal point not required on whole dollar trades; see Help for examples)

Redemption Option: ☒ Dollar Amount:
☐ Number of Shares:

Redemption window

Redemption

Overview

The Redemption window displays total share and account value information and allows you to redeem shares from the account. The two redemption transaction types supported by Vision are automated clearing house (ACH) redemptions, and check redemptions to the address of record. Redemptions from fiduciary accounts are not supported at this time due to reporting and regulatory issues. The automated clearing house (ACH) redemption transaction enables the movement of money from a shareholder's accounts to his or her bank accounts. The check redemption transaction allows the liquidation of money from a shareholder's

mutual fund accounts and a check for the proceeds to be sent to the address of record

Procedures

1. Complete one of the following selection fields:
 - To redeem a **specified dollar amount**, click the Dollar Amount button. Then, enter the dollar amount to be redeemed in the corresponding field. Whole dollar trades do not require a decimal point. For example, to redeem five hundred dollars worth of shares, enter **500**. Transactions with cents do require a decimal point. For example, to redeem five hundred dollars and sixty-six cents worth of shares, enter **500.66**. Only two decimal points are read, the amount is not rounded up or down. For example, 500.6679 dollars will be read as 500.66 dollars.
 - To redeem a specified share amount, click the Number of Shares button. Then, enter the number of shares to be redeemed in the corresponding field. Whole share trades do not require a decimal point. For example, to redeem two hundred shares, enter 200. Transactions with fractional shares require a decimal point.
 - To redeem all shares in the account, click the All Shares radio button.
2. If the account is a **contingent deferred sales charge (CDSC) account**, select one of the following options:
 - To add the CDSC fees to the share/dollar amount redeemed, click the Net button.
 - To subtract the CDSC fees from the redemption amount you specified, click the Gross button.

If the account is not a CDSC account, these buttons will not display.
3. If the shareholder's account records contain **bank account information**, you may select whether the shareholder receives a check for the redeemed shares or if the share value should be automatically deposited into the shareholder's bank account. Select one of the following options:
 - To receive a check, click the By check mailed to the above address button. The check will be mailed to the address displayed at the top of the window.
 - To automatically deposit the funds in the shareholders account, click the By electronic deposit to the bank account of record button. To review bank account information for the account, select the Bank Instructions option from the Shareholder Account Information window.

If the shareholder's account records do not contain bank account information, these buttons will not display. In this case, a check will be mailed to the address displayed at the top of the window.
4. Click the Continue button. The Redemption Verification window displays.

Entry Field Definitions

(Listed in order.)

Dollar Amount

Enter the dollar amount of the redemption. Whole dollar trades do not require a decimal point. For example, to redeem five hundred dollars worth of shares, enter **500**. Transactions with cents require a decimal point. For example, to redeem five hundred dollars and sixty-six cents worth of shares, enter **500.66**. Only two decimal points are read. The amount is not rounded up or down. For example, 500.6679 dollars will be read as 500.66 dollars. This field is valid only if the Dollar Amount button is selected.

Number of Shares

Enter the number of shares to be redeemed. Whole share trades do not require a decimal point. For example, to redeem two hundred shares, enter **200**. Transactions with fractional shares require a decimal point. This field is valid only if the Number of Shares button is selected.

All Shares button

Enables you to specify that all shares will be redeemed from the account.

Gross button (displayed only if a CDSC account)

When selected, indicates that CDSC fees will be subtracted from the dollar/share amount redeemed. You will receive the remaining balance.

Net button (displayed only if a CDSC account)

When selected, indicates that the CDSC fees will be added to the dollar/share amount redeemed.

By check mailed to the above address button (displayed only if account contains bank account information)

When selected, indicates that a check for the redemption amount will be mailed to the address displayed at the top of the window.

By electronic deposit to the bank account of record button (displayed only if account contains bank account information)

When selected, indicates that the redemption amount will be automatically deposited to the bank account of record. To review bank account information for the account, select the Bank Instructions option from the Shareholder Account Information window.

Link Definitions

CDSC Hypothetical Calculation (displayed only if the account is a CDSC account)

Displays hypothetical information on contingent deferred sales charge (CDSC) fees for a redemption from the account. (Displayed fees are for informational purposes only. This window does not initiate an actual redemption transaction.)

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Total Shares

Displays the current share balance of the account.

Account Value

Displays the dollar value of the account. Account value is determined by multiplying the sum of the issued and unissued shares by the net asset value.

650327 2332460

The screenshot shows a web browser window titled "Vision - Redemption - IE for DST Systems". The page content is as follows:

GLOBAL PRIME INVESTORS
Redemption

Ticker: MGVTF	28 MFB FUND - MIRRORS GVT FUND 22 CUSIP: 226300101	Fund Code: 28
---------------	---	---------------

Account: 8408
Tax ID/SSN: 499-70-4453

DEBBIE R. LOPEZ
507 PACIFIC DR.
BELTON MO 64012-2935

Redemption Verification

You have requested to sell \$350.00 worth of shares from the 28 MFB FUND - MIRRORS GVT FUND 22, account number 8408. The fund company reserves the right to reject this transaction. If this transaction is accepted by the fund company, proceeds will be deposited to the bank account electronically. If you do not want to sell these shares, select CANCEL.

[Return To Shareholder Account Information](#) [Help](#)

Copyright © 1998 DST Systems Inc. All Rights Reserved.

Redemption Verification window

Redemption Verification

Overview

The Redemption Verification window allows you to review and confirm, cancel or modify the redemption information before the transaction is placed.

Procedures

1. Review the redemption transaction information carefully.
2. Click one of the following push buttons:
 - To accept the displayed redemption information, click the Confirm Redemption push button. The transaction will be submitted to the fund company. The Redemption Confirmation window will appear.
 - To reject the displayed redemption information, click the Cancel push button. The transaction will not be submitted to the fund company. The previous window will appear.
 - To modify the displayed redemption information, click the browser's Back button. The redemption entry window will be re-displayed to allow changes to the dollar amount.

Link Definitions

Return to Shareholder Account Information

Returns you to the main Shareholder Account Information window.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the shareholder's account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Redemption Verification

Displays transaction information associated with the redemption, including the amount of the redemption, the fund number and name, and the account number.

The screenshot shows a web browser window titled "Vision - Redemption - IE for DST Systems". The page content is for "GLOBAL PRIME INVESTORS" and is titled "Redemption". It displays the following information:

28 MFB FUND - MIRRORS GVT FUND 22		
Ticker - MGVTF	CUSIP - 226300101	Fund Code - 28
Account: 8408		
Tax ID/SSN: 409-70-4453		
DEBBIE R. LOPEZ 317 PACIFIC DR. BELLTON MO 64012-2935		

Redemption Confirmation

You have approved a request to sell \$350.00 worth of shares from the 28 MFB FUND - MIRRORS GVT FUND 22, account number 8408. The fund company reserves the right to reject this transaction. If this transaction is accepted by the fund company, proceeds will be deposited to the bank account 124 electronically. If the shareholder does not receive written confirmation of this transaction, please contact the fund company at 1-800-421-0180.

The reference number for this transaction is 9911104.

[Return To Shareholder Account Information](#) [Help](#)

Copyright © 1998 DST Systems Inc. All Rights Reserved.

Redemption Confirmation window

Redemption Confirmation

Overview

The Redemption Confirmation window displays the redemption information submitted to the fund company and provides you with the transaction reference number. The transaction has already been submitted to the fund, and cannot be automatically modified or canceled through Vision. Call the fund company's support phone number, included on the confirmation window, if the transaction needs to be modified or canceled.

Procedures

1. Review the submitted redemption transaction information.
2. Retain the transaction reference number for future reference.

Link Definitions

Return to Shareholder Account Information

Returns you to the main Shareholder Account Information window.

0947537-1309
560227-2032460

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the shareholder's account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Redemption Confirmation

Displays the redemption information submitted to the fund company including the amount of the redemption, the fund number and name, account number, and the transaction reference number.

09475637 123099

VISION - CDSC Hypothetical Calculation - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
CDSC Hypothetical Calculation

CLIENT SERVICES SPECIALIZED PORTFOLIOS

Ticker: CSPAF CUSIP: CUSIP9700 Fund Code: 37

Account: 6000005096 PAT R KELLER
Tax ID/SSN: 333-11-1223 1055 BROADWAY ST FL 8
KANSAS CITY MO 64105-1575

Total Shares: 18,2480
Account Value: \$200.18

Use the partial redemption method to estimate the CDSC fees paid if a specified number of shares or dollar amount were redeemed from an account.

Use the full redemption method to estimate the CDSC fees paid if all shares in an account were redeemed (e.g. when closing an account).

Use gross to have the CDSC fees taken out of the amount specified.

Use net to add the CDSC fees to amount redeemed.

☒ Partial Redemption or ☐ Full Redemption
☒ Gross or ☐ Net
☒ Dollars or ☐ Shares

Redemption Amount:

[Return to Menu](#) [Disclaimers](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

CDSC Hypothetical Calculation window

CDSC Hypothetical Calculation

Overview

The CDSC Hypothetical Calculation window displays information on contingent deferred sales charge (CDSC) fees for a redemption from the account. Displayed fees are for informational purposes only, and entries on this window will not initiate a redemption transaction.

Procedures

1. Select from the following buttons to specify the method by which to calculate hypothetical CDSC fee information:

- To redeem all shares in the account, click the Full Redemption button. Otherwise, the Partial Redemption button will be selected by default and you will be able to enter the number of shares or dollars to be redeemed.
 - To add the CDSC fees to the share/dollar amount redeemed, click the Net button. Otherwise, the Gross button will be selected by default and CDSC fees will be subtracted from the redemption amount you specify.
 - If you selected the Partial Redemption button, click the Shares button to specify a share amount to be redeemed. Otherwise, the Dollars button will be selected by default.
2. If you selected the Partial Redemption button, type the redemption amount (in shares or dollars, as appropriate) in the Redemption Amount field.
 3. Click the Calculate button. The fee amount will be calculated and displayed in the upper portion of the window.

Entry Field Definitions

Redemption Amount

If hypothetical fees are being calculated on a partial redemption, the Redemption Amount field must be completed.

- If the Dollars button is selected, enter the dollar amount of the redemption. Enter whole dollar amounts only.
- If the Shares button is selected, enter the number of whole shares to be redeemed.

Link Definitions

CDSC Fee Description

Displays CDSC information specific to the fund family.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Redeemed Dollars

Displays the total dollar value of the redemption.

Redeemed Shares

Displays the total share amount of the redemption.

NAV Per Share

Displays the dollar value of one share of the fund as determined by the formula (total assets - total liabilities)/total shares outstanding.

CDSC Fee

Displays the total CDSC fee charged to the redemption.

Free Money

Displays the amount of money in the account that is not subject to CDSC fees.

Check Amount

Displays the total dollar amount that would be issued to the shareholder. If the Gross redemption option was selected, this amount will be less any CDSC fees.

650627 28332460

NOTES

650527 26252400

Chapter 10:

Exchanges

Exchange will appear as an available transaction on the Shareholder Account Information page only if it is authorized for the fund family, Operator ID, and account. Click the Exchange hyperlink on the Shareholder Account Information page to open the Exchange window.

Exchange window

Exchange

Overview

The Exchange window displays total share and account value information and allows you to exchange shares between accounts. Exchanges will be allowed between two existing accounts and to a new account (in which case selected account information will be copied from the existing account). An exchange to existing account is the movement of money from one fund to another fund in previously established accounts within the same mutual fund family. An exchange to a new account is the movement of money from a previously established account in one fund to a new account in another fund within the same fund family.

Procedures

1. Complete one of the following selection fields:
 - To exchange a specified dollar amount, click the Dollar Amount button. Enter the dollar amount to be exchanged from the account in the corresponding field. Whole dollar trades do not require a decimal point. For example, to exchange five hundred dollars worth of shares, enter **500**. Transactions with cents require a decimal point. For example, to exchange five hundred dollars and sixty-six cents worth of shares, enter **500.66**. Only two decimal points are read, the amount is not rounded up or down. For example, 500.6679 dollars will be read as 500.66 dollars. This field is valid only if the Dollar Amount button is selected.
 - To exchange a specified share amount, click the Number of Shares button. Enter the number of shares to be exchanged from the account in the corresponding field. Whole share trades do not require a decimal point. For example, to exchange two hundred shares, enter **200** — not **200.000**. Transactions with fractional shares require a decimal point. This field is valid only if the Number of Shares button is selected.
 - To exchange **all shares** out of the account, click the All Shares button.
2. Select the fund into which exchanged dollar value/shares will be placed from the Exchange to Fund list box.
3. Select one of the following Exchange To Account options:
 - To exchange into an existing account, click the Existing Account button. Enter the account number in the corresponding field.
 - To exchange into a new account, click the Establish New Account button. Registration information from the existing account will be used to establish the new account.
4. Click the Continue button. The Exchange Verification window appears.

Entry Field Definitions

Dollar Amount

Enter the dollar amount of the exchange. Whole dollar trades do not require a decimal point. For example, to exchange five hundred dollars worth of shares, enter **500**. Transactions with cents require a decimal point. For example, to exchange five hundred dollars and sixty-six cents worth of shares, enter **500.66**. Only two decimal points are read. The amount is not rounded up or down. For example, 500.6679 dollars will be read as 500.66 dollars. This field is valid only if the **Dollar Amount** button is selected.

Number of Shares

Enter the number of shares to be exchanged. Whole share trades do not require a decimal point. For example, to exchange two hundred shares, enter **200**. Transactions with fractional shares require a decimal point. This field is valid only if the **Number of Shares** button is selected.

All Shares

Enables you to specify that all shares will be exchanged from the account.

Exchange to Fund

Select the fund into which the dollar amount/shares will be exchanged.

Existing Account

Enter the account number into which the dollar amount/shares will be exchanged. This field is valid only if the **Existing Account** button is selected.

Establish New Account

Enables you to specify that the shares will be exchanged into a new account. Registration information from the existing account will be used to establish the new account.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

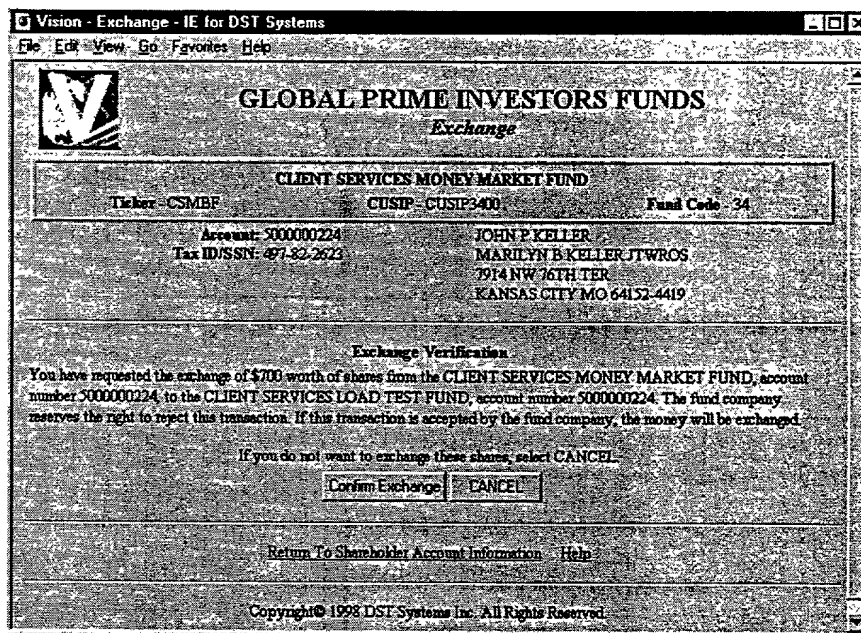
Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Total Shares

Displays the current share balance of the account.

Account Value

Displays the dollar value of the account. Account value is determined by multiplying the sum of the issued and unissued shares by the net asset value.



Exchange Verification window

Exchange Verification

Overview

The Exchange Verification window allows you to review and confirm, cancel or modify the exchange information before the transaction is placed.

Procedures

1. Review the exchange transaction information carefully.
2. Click one of the following buttons:
 - To **accept** the displayed exchange information, click the Confirm Exchange push button. The transaction will be submitted to the fund company. The Exchange Confirmation window will appear.

- To **reject** the displayed exchange information, click the Cancel push button. The transaction will not be submitted to the fund company. The previous window will appear.
- To **modify** the displayed exchange information, click the browser's Back button. The exchange entry window will be re-displayed to allow changes to the dollar amount.

Link Definitions

Return to Shareholder Account Information

Returns you to the main Shareholder Account Information window.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Exchange Verification

Displays transaction information associated with the exchange, including the amount of the exchange, the fund number and name, and the account number.

The screenshot shows a web browser window titled "Vision - Exchange - IE for DST Systems". The browser's menu bar includes "File", "Edit", "View", "Go", "Favorites", and "Help". The main content area displays the "GLOBAL PRIME INVESTORS FUNDS" logo and the word "Exchange". Below this, a box contains the following information:

CLIENT SERVICES MONEY MARKET FUND		
Ticker - CSMBF	CUSIP - CUSIP3400	Fund Code - 34
Account: 5000000224		
Tax ID/SSN: 497-82-2623		
JOHN P KELLER		
MARILYN B KELLER ITWROS		
7914 NW 76TH TER		
KANSAS CITY MO 64152-4419		

Below the box, the "Exchange Confirmation" section states: "You have approved the exchange of \$700 worth of shares from the CLIENT SERVICES MONEY MARKET FUND, account number 5000000224, into CLIENT SERVICES LOAD TEST FUND, account number 5000000224. The fund company reserves the right to reject this transaction. If this transaction is accepted by the fund company, the money will be exchanged. If the shareholder does not receive written confirmation of this transaction, please contact the fund company at (816) 843-6712." It also provides the reference number: "The reference number for this transaction is 0000704." At the bottom, there is a link "Return To Shareholder Account Information - Help" and a copyright notice: "Copyright © 1998 DST Systems Inc. All Rights Reserved."

Exchange Confirmation window

Exchange Confirmation

Overview

The Exchange Confirmation window displays the exchange information submitted to the fund company and provides you with the transaction reference number. The transaction has been submitted to the fund, and cannot be automatically modified or canceled through Vision. Call the fund company's support phone number, included on the confirmation window, if the transaction needs to be modified or canceled.

Procedures

1. Review the submitted exchange transaction information.
2. Retain the transaction reference number for future reference.

Link Definitions

Return to Shareholder Account Information

Returns you to the main Shareholder Account Information window.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Exchange Confirmation

Displays the redemption information submitted to the fund company, including the amount of the exchange, the fund number and name, account number, and the transaction reference number.

660227 2632460

NOTES

0042337-13099
660627 2003/04/09

Index

A

Accessing Vision 9
account 43, 48, 50, 52, 56, 58, 60, 63,
68, 69, 70, 71
account number 39
Account Search by Dealer Account 21
Account Search by Shareholder Name
29
account summary by rep/advisor 17
account value 43, 49, 57, 68
account/tax ID (SSN) 24, 27, 31, 35, 39
agent for firm 23
all shares 67
all shares (radio button) 55
alpha code 45
alphabetical by name 39

B

by check mailed to the above address
(radio button) 56
by electronic deposit to the bank
account of record (radio button) 56

C

capital gains 44
CDSC fee 63
CDSC fee description 62
cdsc hypothetical calculation 56
CDSC Hypothetical Calculation 61
change password 11, 12
Change Password 11
check amount 63
cumulative discount number 46
cumulative discount number + zip code
39

D

daily dividend accrual 44
date established 44
dealer account 45
dealer account (BIN) 18, 23
dealer information 17

dealer name 45
dealer number 38
dealer/branch 45
distribution information 17
dividends 44
dollar amount 48, 55, 67

E

escrow shares 43
establish new account 67
exchange 42
Exchange 66
exchange confirmation 70
exchange to fund 67
Exchange Verification 69
existing account 67

F

firm number 23
first name 30
free money 63
fund + account number 39
fund and account 18
fund code/fund name 24, 27, 31, 35, 40
fund information 17
fund number 39

G

gross (radio button) 55

I

issued shares 43

L

last maintenance 45
last name 30
letter of intent number 46

M

Management Company Menu 16
management company selection 15
matrix level 45

middle initial 30

N

NAV per share 43, 63
net (radio button) 55
net asset value summary 17
number of shares 55, 67

O

operator ID 10, 12
order information 17

P

password 10, 12
purchase 42
purchase confirmation 51
purchase verification 49

R

redeemed dollars 63
redeem 42
redeemed shares 63
redemption 53
redemption amount 62
redemption confirmation 59
Redemption Verification 57
rep/advisor 18, 38
rep/advisor name 45
rep/advisor number 45
retrieve accounts across funds 23, 30,
34, 38
retrieve related accounts 26
return to shareholder account
information 51, 58, 59, 69, 71

S

screens
cdsc hypothetical calculation 61
change password 11
exchange 66
exchange verification 69
redemption verification 57
vision sign-on 9

Screens

Account Search by Dealer Account
21
Account Search by Shareholder
Name 29
Exchange Confirmation 70
Management Company Menu 16
Management Company Selection 15
Purchase Confirmation 51
Purchase Verification 49
Redemption 53
Redemption Confirmation 59
Shareholder Account Information 41
Sign-On 9
Shareholder Account Information 41
shareholder account number 26
shareholder name 18
shareholder registration 24, 27, 31, 35,
40
shares/balance 24, 27, 31, 35, 40
sign up for Vision 10
Sign-On screen 9
social security number 18, 48, 56, 63,
68, 69, 71
state code 30

T

tax ID 44
tax ID + zip code 38
tax ID/SSN 18, 34, 48, 56, 63, 68, 69,
71
total shares 43, 48, 56, 68

U

unissued shares 43

V

verify password 12
Vision Sign-On 9

Z

zip code 38, 39

PRINT OF DRAWINGS
AS ORIGINALLY FILED

Vision

Vision Mutual Fund Gateway®

Training Guide

New Account Establishment

November 1999

DST
SYSTEMS

**PRINT OF DRAWINGS
AS ORIGINALLY FILED**

The material is provided to you under a license agreement which restricts disclosure by you of this material. The material herein contains proprietary confidential information and trade secrets of substantial economic value to DST Systems, Inc. Any disclosure or dissemination of this information to persons or concerns not authorized by DST Systems, Inc. is strictly prohibited.

The names of companies, products, people, characters, and/or data mentioned herein are fictitious and are in no way intended to represent any real individual, company, product, or event, unless otherwise noted. DST Systems, Inc. reserves the right to revise this publication and to make changes to its content, at any time, without any obligation to notify any person or entity of such revisions or changes. This document is not a comprehensive technical reference guide and applies only to the version of the software stated herein.

All obligations of DST Systems, Inc. with respect to its systems, software, and services are described solely in written agreements between DST Systems, Inc. and its customers. This document does not constitute any amendment, interpretation, or other modification of any agreement between DST Systems, Inc. and any party.

DST SYSTEMS, INC. IS NOT EXTENDING ANY WARRANTIES OR MAKING ANY REPRESENTATIONS TO ITS CUSTOMER WITH RESPECT TO THE SERVICES OF ANY INTERNET SERVICES PROVIDER OR TO ANY OTHER PRODUCTS OR SERVICES USED OR INSTALLED IN CONJUNCTION WITH THE DST SYSTEMS, INC. SYSTEMS, SOFTWARE AND SERVICES. THE ONLY WARRANTIES AND REPRESENTATIONS THAT DST SYSTEMS, INC. IS MAKING TO ITS CUSTOMER WITH RESPECT TO THE PRODUCTS AND SERVICES OF DST SYSTEMS, INC. ARE THOSE EXPRESSLY STATED IN THE WRITTEN AGREEMENT BETWEEN DST SYSTEMS, INC. AND ITS CUSTOMER. EXCEPT AS SET FORTH THEREIN, ALL SYSTEMS, SOFTWARE, SERVICES, AND RELATED DOCUMENTATION ARE PROVIDED "AS-IS", AND DST SYSTEMS, INC. SPECIFICALLY DISCLAIMS ANY AND ALL REPRESENTATIONS AND WARRANTIES, EXPRESS OR IMPLIED, INCLUDING WITHOUT LIMITATION WARRANTIES OF MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE.

DST SYSTEMS, INC. SHALL NOT BE RESPONSIBLE AND SHALL HAVE NO LIABILITY FOR ANY ACTUAL, SPECIAL, INCIDENTAL, DIRECT, INDIRECT, PUNITIVE, EXEMPLARY OR CONSEQUENTIAL DAMAGES OR ANY DAMAGES WHATSOEVER ARISING OUT OF OR IN CONNECTION WITH IMPROPER INSTALLATION OF SOFTWARE OR FAILURE TO COMPLY WITH THE INSTRUCTIONS CONTAINED HEREIN, AND ANY LIABILITY OF DST SYSTEMS, INC. TO ITS CUSTOMER FOR OTHER DAMAGES OF ANY KIND OR FOR ANY OTHER THING OR MATTER SHALL BE LIMITED AS SET FORTH IN THE AGREEMENT BETWEEN DST SYSTEMS, INC. AND ITS CUSTOMER.

© 1999, DST Systems, Inc. All rights reserved.

TA2000 is a registered trademark of DST Systems, Inc. Other products and company names mentioned herein are the trademarks of their respective owners.

Vision New Account Establishment Training Guide
November 1999

DST Systems, Inc.
333 West 11th Street
Kansas City, MO 64105-1594
www.dstsystems.com

Printed in U.S.A.

Contents

Introduction.....	5
What is Vision?	5
Vision Advantages.....	5
Using This Guide.....	6
Security on the Vision Web Site.....	7
Chapter 1: Accessing Vision Mutual Fund Gateway	9
Vision Sign-On.....	9
Change Password.....	11
Vision Internet Agreement	12
Management Company Selection.....	14
Chapter 2: New Account Establishment.....	17
Management Company Menu.....	17
Enter Representative Information.....	21
Chapter 3: Distribution Options.....	39
Chapter 4: Automatic Investment.....	43
Chapter 5: Automatic Withdrawal.....	45
Chapter 6: Rights of Accumulation/ Letter of Intent.....	47
Establish ROA	47
Establish Both LOI and ROA.....	52
Select LOI Option (Auto ROA).....	62
Chapter 7: Interested Party	65
Chapter 8: Telephone Redemption.....	67
Chapter 9: Telephone Exchange and Check-Writing Redemptions.....	69

Telephone Exchange.....	69
Check-Writing Redemptions	70
Chapter 10: Completing the Application	71
Brokerage and Suitability Forms	71
Account Application Verification.....	85

660627 223/460

0047563-12309
SECRET 2692460

Introduction

What is Vision?

DST's Vision Mutual Fund Gateway is an interactive Web site, located at <http://www.dstvision.com> (<http://www.dstvision128.com>), that provides financial intermediaries, such as broker/dealers and financial advisors, the ability to access fund, shareowner account, and dealer information in a real-time environment through the Internet. Information such as shareowner positions, account options, transaction histories, fund pricing and yields are some of the features available through Vision. With proper authorization, Vision also allows the financial intermediary to execute transactions such as exchanges, redemptions, and purchases.

The Vision new account interface allows the financial intermediary to establish and settle a new account real time. This will save the financial intermediary from having to complete a paper application, attaching a check, and mailing it to the mutual fund.

Vision Advantages

Vision was designed and developed specifically for the financial intermediary. We have focused on providing the financial professional with a truly friendly product that will make a tremendous impact on daily operations efficiency.

Vision provides:

- single logon access for all authorized fund groups
- real-time, up-to-date fund and shareholder account information
- transaction processing
- new account establishment
- intranet or extranet access

New Account Establishment Options

Vision offers four new account establishment options:

- **Establish the new account electronically and settle the initial purchase through ACH**—The financial intermediary completes an application online, establishes the new account at the fund, and settles the account electronically via an on-demand ACH (Automated Clearinghouse)

from the shareowner's checking account. The ACH purchase for new accounts will be processed like any other ACH transaction. The trade date for settlement of the account will be determined by the fund's ACH processing rules. The intermediary may also print a copy of the application for the customer's signature.

- **Establish the new account electronically and waive the initial investment**—The financial intermediary completes an application online, establishes the new account at the fund, waives the initial investment and settles the account electronically via ACH automatic investment. The trade date for settlement of the account will be determined by the fund's ACH processing rules. The intermediary may also print a copy of the application for the customer's signature.
- **Establish the new account electronically and settle the initial purchase by check**—The financial intermediary completes an application online, establishes the new account at the fund, and settles the account by check. The broker/dealer attaches the shareholder's check to a printed remittance form and mails it to the fund.
- **Mail the new account application to the fund and settle the initial purchase by check**—The financial intermediary completes an application online and prints the application form. The shareholder signs the application and pays the initial investment by check. The broker/dealer attaches the shareholder's check to the application and mails it to the fund. The account will not be established until the application is processed by the transfer agency.

Using This Guide

The Vision New Account Establishment Training Guide is composed of the following sections:

- Chapter 1: Explains how to log on to the Vision Mutual Fund Gateway Internet site and select a fund management company.
- Chapters 2-10: Describes, in detail, how to use Vision to establish a new account, print a suitability form, and print an account application/remittance form.
- Chapter 11: Explains signing up for Vision, changing your password, and obtaining technical support.

Each chapter includes the following information:

- **Vision windows**—Images of each Vision window.
- **Overview**—A high-level description of the information displayed on each window.
- **Procedures**—The steps that must be completed on the window before continuing to the next window.
- **Entry Field Definitions**—The name and description of all fields that require entry or selection of information.

- **Display Field Definitions**—The name and description of all fields that display information.
- **Link Definitions**—Describes hyperlinks to other windows within Vision/

Security on the Vision Web Site

Vision is secured by operator ID and password. All Vision users will be issued a Vision ID and Password. Sharing an ID is not recommended. When the password expires is invalid, the user will be prompted for a new or valid password.

See *Chapter 1: Accessing Vision Mutual Fund Gateway* for instructions on entering your operator ID and password, and for accessing the Vision Web site.

650327 4295450

NOTES

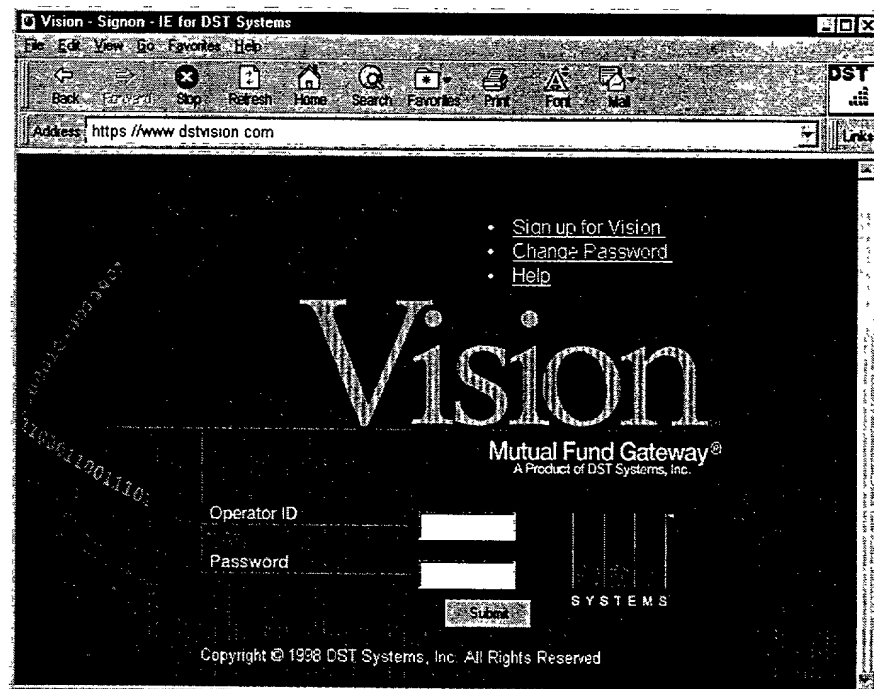
650627 2632450

Chapter 1:

Accessing Vision Mutual Fund Gateway

Vision may be accessed by typing <http://www.dstvision.com> into the address box of your browser. If the fund requires 128-bit encryption, type <http://www.dstvision128.com>.

In order to sign onto Vision, you must have an assigned operator ID.



Vision Sign-On window

Vision Sign-On

Overview

The Vision Sign-On window enables you to sign on to the system.

All you need to use Vision is an Internet browser. Vision supports the latest versions of Microsoft Internet Explorer and Netscape Navigator/Communicator browsers. A monitor resolution of 800x600 is recommended.

Procedures

1. Type your alphanumeric ID in the Operator ID field.
2. Type your password in the Password field.
3. Click **Submit**.

The Vision Mutual Fund Gateway Internet Agreement window displays.

Entry Field Definitions

Operator ID

Vision is secured by operator ID, which can be restricted at the dealer, dealer/branch, or dealer/representative level or by tax ID. The type of security associated with your Operator ID will affect the account information displayed on Vision windows. Your ID is assigned by the Vision Group ID and will be from four to eight alphanumeric characters long. To obtain an ID, go to the Vision enrollment Web site at <http://www.dstvisioninfo.com> and complete the online enrollment form. If the ID is not used within seven days of being assigned, or if there is no activity on the ID for 60 days, the ID will be disabled. To reset your ID, contact the DST Help Desk at (800) 228-3574.

Password

Your password must be a minimum of seven and a maximum of eight characters long. The password must contain at least one non-alpha, non-numeric character from the following list: !@#%_&*()-/?_+=/. The password will appear as a series of asterisks. After three incorrect attempts to enter your password, your operator ID will be disabled. To obtain an initial password for your operator ID, contact the Vision group at (816) 843-6712. To reset your password, contact the DST Help Desk at (800) 228-3574.

Note: If your ID is reset, your password will default to the initial password assigned by the Vision Group.

Link Definitions

Sign Up for Vision

The Vision enrollment Web site contains information about the features and benefits of Vision as well as the required forms to enroll in Vision or to add funds to your existing access.

Change Password

The Change Password window allows you to change your Vision password.

Help

All Vision Help windows open a new iteration of your browser. Please close the Help frame to return to Vision. This link appears on every page of the Vision Web Site.

Change Password

http://170.40.72.217/ll/VisionTest?lc=Password&cz=b2108180814132719041818&tdk=91639454170807092 - Microsoft Internet...

File Edit View Favorites Tools Help

Vision®
Change Password

Operator ID: Re-enter your Vision operator ID
Password: Re-enter your Current Vision Password

The new password must be a minimum of 7 and a maximum of 8 characters long and must contain at least one character from the following list:
@#%&*()_!~

Change Password: Enter your New Password
Verify Password: Re-enter your New Password

[Help](#)

Copyright © 1999 DST Systems Inc. All rights Reserved.

Change Password window

Overview

The Change Password window enables you to change your current password. This window should also be used when your password has been reset.

Procedures

1. Type your alphanumeric ID in the Operator ID field.
2. Type your current password in the Password field. If your Vision sign-on ID is disabled, contact the DST Help Desk at 1-800-228-3574 to reset your sign-on ID and password.
3. Type your new password in the Change Password field. The password must be a minimum of seven characters and a maximum of eight characters long and must contain at least one non-alpha, non-numeric character from the following list: ! @ # % _ & * () - / ? = + .
4. Type your new password a second time in the Verify Password field.
5. Click **Submit**.

Note: Type your new password exactly as you typed it in the Change Password field. If you do not verify your password correctly, an error message will result. Use your browser's Back button to attempt to change the password again.

Your password will be updated and the Vision Agreement window will appear.

Vision Internet Agreement

Procedures


The Vision Mutual Fund Gateway Internet Agreement appears the first time you log on, and will appear every 150 days after that for each operator ID. Click **I Agree** once you have read the agreement.

The Management Company Selection window displays. If your Vision ID has access to only one management company, the Management Company Selection window will be bypassed and the Management Company Menu displays.

650227 26352460

Vision - Disclaimer - Microsoft Internet Explorer

File Edit View Favorites Tools Help

 **Vision®**
Agreement

(Please review the terms and conditions of the Vision agreement. To continue, scroll to the end of the agreement and click on I Agree.)

Copyright © 1996, 1997, 1998, 1999, DST Systems, Inc. ("DST"). All rights reserved.

BY USING VISION MUTUAL FUND GATEWAY® ("VISION®"), YOU AGREE TO THE LEGAL TERMS AND CONDITIONS AS FOLLOWS:

The computer system, procedures, databases, and programs created and maintained by DST contain proprietary confidential information and trade secrets of substantial economic value to DST. Any unauthorized use, misuse, or disclosure of such data or information is strictly prohibited and may result in civil liabilities and criminal penalties under applicable law. Vision® and Vision Mutual Fund Gateway® are service marks of DST, and no license, assignment, or permission is granted herein, expressly, implicitly, by entrapment or otherwise to use them, or to use any of the marks affixed to the databases accessed via Vision®.

NEITHER DST NOR THE AFFECTED MUTUAL FUND OR INVESTMENT COMPANY MAKE ANY REPRESENTATIONS AND HEREBY EXCLUDE ANY WARRANTY, EXPRESS OR IMPLIED, ABOUT THE ACCURACY, COMPLETENESS, TIMELINESS, OR SUITABILITY FOR ANY PURPOSE OF THE INFORMATION ACCESSIBLE VIA VISION®, OR ABOUT THE PERFORMANCE OR AVAILABILITY OF VISION®, OR ANY DATABASES ACCESSIBLE THROUGH VISION®. ALL SUCH INFORMATION, VISION®, AND ACCESSIBLE DATABASES ARE PROVIDED OR MADE AVAILABLE "AS IS," TO THE EXTENT ALLOWED BY APPLICABLE LAW. DST AND THE AFFECTED MUTUAL FUND OR INVESTMENT COMPANY HEREBY DISCLAIM ALL WARRANTIES AND CONDITIONS WITH REGARD TO SUCH INFORMATION, VISION®, AND ACCESSIBLE DATABASES, INCLUDING WITHOUT LIMITATION, ALL IMPLIED WARRANTIES AND CONDITIONS OF MERCHANTABILITY, FITNESS FOR A PARTICULAR PURPOSE AND NON-INFRINGEMENT.

IN NO EVENT SHALL DST, THE AFFECTED MUTUAL FUND, THE AFFECTED INVESTMENT COMPANY OR THEIR AFFILIATES BE LIABLE FOR ANY ACTUAL, SPECIAL, INCIDENTAL, DIRECT, INDIRECT, PUNITIVE, EXEMPLARY OR CONSEQUENTIAL DAMAGES OR ANY DAMAGES WHATSOEVER ARISING OUT OF OR IN CONNECTION WITH THE USE OF VISION®, EFFECTING TRANSACTIONS VIA VISION®, THE INFORMATION ACCESSIBLE VIA VISION®, OR THE RELIANCE THEREON, INCLUDING WITHOUT LIMITATION, DAMAGES ARISING FROM THE LOSS OF PROFITS, MISINFORMATION OR THE RISKS OF THE STOCK MARKET.

Neither you nor any user of Vision® is a third-party beneficiary to any agreement to which DST or its affiliates is a party, including without limitation, any agreements between DST or its affiliates and a mutual fund or investment company.

Neither DST nor the affected mutual fund or investment company shall be responsible for, and you shall hold DST and the affected mutual fund, affected investment company or their affiliates harmless from and against and indemnify DST and the affected mutual fund or affected investment company for any and all expenses, losses, damages, charges, counsel fees, payments and liability which may be asserted against DST and the affected mutual fund, affected investment company, or its affiliates or for which DST and the affected mutual fund, affected investment company or its affiliates may be liable arising out of or attributable to your failure to comply with the legal terms and conditions set forth in Vision® or to your negligence in using Vision® or in using or distributing information accessed via Vision®.

The accuracy, completeness and timeliness of all mutual fund or investment vehicle information provided via Vision® is the sole responsibility of the mutual fund or investment company. The information is not intended to satisfy any compliance or regulatory conditions set forth by any governing body of the securities industry. You or any user is responsible for verifying the accuracy of transactions entered and information as received.

As a provider of financial services or a plan sponsor, you agree that quoted rates and yields for the mutual funds or investment vehicles about which information is accessible via Vision® reflect past performance and do not necessarily indicate future results and that shares of the mutual funds or investment vehicles described or referred to are not deposits or obligations of, or guaranteed or insured by, any bank, the Federal Deposit Insurance Corporation, the Federal Reserve Board, or any other agency, are subject to risk, including possible loss of principal, and will fluctuate in value. All financial determinations, including without limitation suitability determinations, are your responsibility, and not that of DST or the mutual funds, investment companies or their affiliates.

In using the accessed information, you agree to abide by all laws and regulations governing your industry or business, including without limitation the requirement that you not distribute the accessed information to prospective investors unless it is provided as accompanied by current prospectuses of the funds or investments being offered. You agree not to alter or modify in any way the accessed information or print or copies of it.

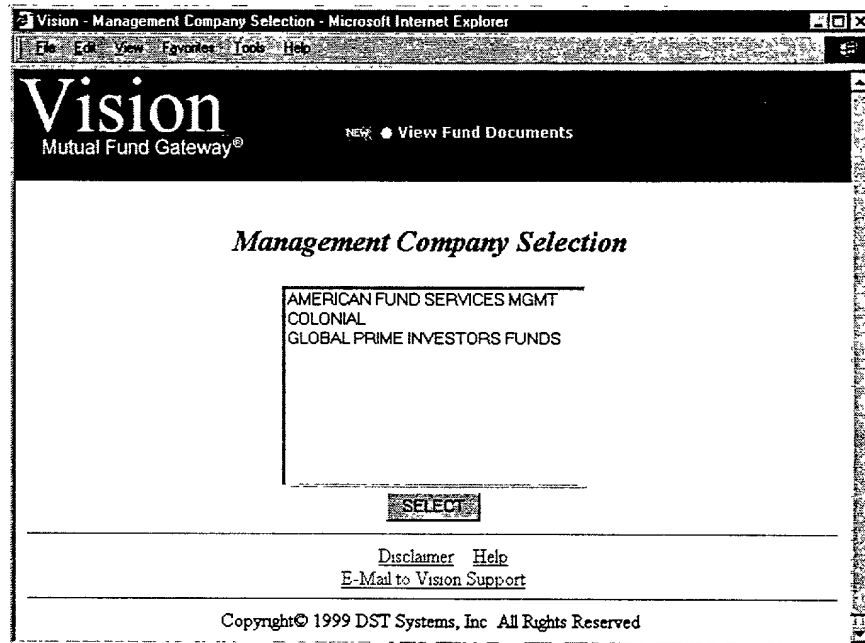
You represent and warrant to DST, the affected mutual fund, the affected investment company and their affiliates that each on-line transaction requested by you, or any information obtained by you, via Vision®, is rightful and authorized by the shareholder or participant whose mutual fund account or plan account is affected by a particular transaction or information request. You further acknowledge that this agreement is intended to be, and is, permissive on the part of DST and the mutual funds or investment companies, and not mandatory. DST and the affected mutual fund or investment company may require partial or full documentation before effecting any transaction whenever DST or the affected mutual fund or investment company, in their sole discretion, deem obtaining such documentation to be appropriate or desirable and shall not be liable for any loss due to a delay resulting from such request.

DST authorizes you to access only information about a mutual fund or investment company, or certain accounts in the fund or plans, if you have the agreement of the mutual fund or investment company allowing such access. You will make no deliberate attempt to access any information which you do not have permission to access. If you discover that you have access to information you do not have authority to access, you agree to immediately terminate such access and inform DST at 800-435-4112. Although each mutual fund or investment company controls access to information about its fund, investments, accounts, or plans, DST, as provider of Vision® or the affected mutual fund or investment company, may deny any user access without prior notice whenever either DST or the affected mutual fund or investment company in their sole discretion deem it necessary.

Vision Internet Agreement

The Management Company Selection window displays. If your Vision ID has access to only one management company, the Management Company Selection window will be bypassed and the Management Company Menu displays.

Management Company Selection



Vision Management Company Selection Window

Overview

The Management Company Selection window enables you to select from a list of fund management companies the use Vision Mutual Fund Gateway.

Procedures

1. Highlight the desired management company from the list box.

Note: Vision will list only management companies for which you have access. To scroll through the list, click the up or down arrow button.

2. Click Select.

The Management Company Menu window displays.

Note: To add additional fund management companies to your current access, click the Sign up for Vision hyperlink on the initial Vision Sign On window to go to the Vision Enrollment Web site. Complete the Additional Funds Request form and send or fax the form to the Vision group. To go directly to the site, go to <http://www.dstvisioninfo.com>.

660627 22332460

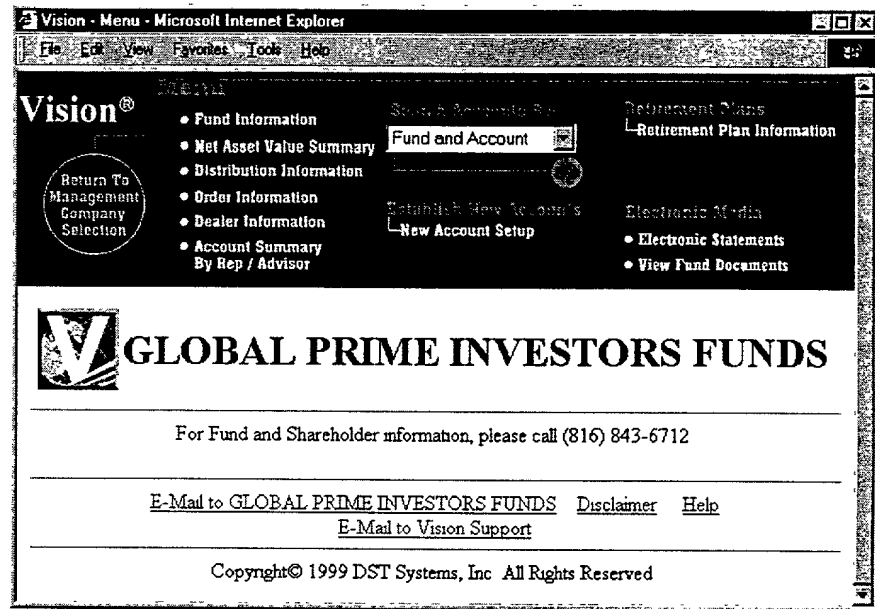
NOTES

660627" 26332450

Chapter 2:

New Account Establishment

In order to establish a new shareholder account, select **New Account Setup** from the Management Company Menu.



Management Company Menu

Overview

The Management Company Menu window provides options for establishing new accounts, as well as accessing detailed information about the management company.

Procedures

Click on the New Account Setup option to establish a new shareholder account. The Enter Representative Information window displays.

Link Definitions

Return to Management Company Selection

Returns you to the Management Company Selection window.

Fund Information

Displays a specific fund's net asset value (NAV), daily dividend rate, yields, total returns, average maturity, redemption charge, and exchange charge for a specified date. The most current information will be displayed unless a specific date is requested.

Net Asset Value Summary

Displays the net asset value (NAV) for each fund within the mutual fund family. The most current information will be displayed unless a specific date is requested.

Distribution Information

Displays a specific fund's dividend and capital gain information (including a record date, dividend and capital gain rate and price, reinvestment price and payable and reinvestment date).

Order Information

Displays specific fund order information (including dealer registration, gross amount, trade price, shares, NAV, dealer net amount, trade date, and sales charge). Order information can be retrieved by entering an order number or an NSCC Fund/Serv control number.

Dealer Information

Displays dealer summary information at the dealer or dealer/branch level. Dealer information includes the dealer's registration, total assets, number of open and closed accounts, total accounts by matrix level, order summary information, and fund level assets.

Account Summary by Rep/Advisor

Displays representative-level account summary information (including fund number, number of accounts by fund, share volume by fund, assets by fund, and totals).

Search Accounts By

Dealer Account (BIN)

Enables you to retrieve shareholder account information by dealer account number within a specific fund or across all funds in a family of funds.

Fund and Account

Enables you to retrieve shareholder account information by fund account number within a specific fund or across all funds in a family of funds.

Shareholder Name

Enables you to retrieve shareholder account information by shareholder name within a specific fund or across all funds in a family of funds

Tax ID/SSN

Enables you to retrieve shareholder account information by shareholder tax ID or social security number within a specific fund or across all funds in a family of funds.

Rep/Advisor

Enables you to retrieve shareholder account information by representative or advisor number within a specific fund or across all funds in a family of funds. You may retrieve and sort accounts by the following criteria:

- tax ID number and ZIP code
 - cumulative discount number and ZIP code
 - fund number and account number
 - alphabetically by shareholder name
-

Establish New Accounts

New Account Setup

Enables you to establish a new shareholder account.

Retirement Plans

Retirement Plan Information

(appears only if the management company supports this option)

This new feature on the Vision Menu provides access to information about defined contribution plans including:

- plan assets and year-to-date contributions
 - price and yield information
 - summary of plan participants
 - loan and withdrawal information by participant
-

Electronic Media

Electronic Statements

(appears only if the management company supports this option)

Vision users can access, view and print electronic statements that correspond in look, content and format to paper statements. You can search for electronic statements by tax ID/SSN, Rep/Advisor or Shareholder Name. Once you locate the transaction, click the hyperlink to view, download or print an electronic statement including management company information, a portfolio summary, recommended portfolio allocation, earnings summary and year-to-date contributions.

View Fund Documents

(appears only if the management company supports this option)

This feature allows the Vision client to access electronic images of prospectuses, fact sheets and other fund documents. The documents are searchable by SKU (stock-keeping unit), description or document type. Click **Item Image** to view, download and print the document displayed in the Search Results window.

E-Mail to Fund

E-Mail to Fund Hyperlink

(appears only if the management company supports this option)

A hyperlink near the bottom of the Vision Menu opens a window that allows you to e-mail questions and comments directly to the fund management company. The Comments field is required. Add your name, phone number or e-mail address or call the fund company if you would like a response.

650327 2E932450

Enter Representative Information

Dealer Number (Unrestricted or Tax ID Security)

If the operator ID has unrestricted or tax ID security, the operator manually enters the dealer number, branch number, and representative number.

Dealer Number (Dealer Security)

If the Operator has dealer security, the dealer number will be pre-filled and the operator manually enters the branch number and representative number.

VISION - New Account Setup - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS FUNDS
Establish New Account

Enter Representative Information

The following information will be displayed on the application and/or submitted to the fund company. *Please complete the required information and press the Next button to continue.*

Dealer Number: 0050000 --IMPO

Branch Number:

Representative Number:

Representative Name: (optional)

Representative Phone Number: (optional)

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Webmaster](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved

Enter Representative Information—Dealer Number

00447272692460

Dealer Number (Multiple)

If operator security includes access to multiple dealers, this field becomes a drop-down list box.


Enter Representative Information—Multiple Dealer Numbers

Branch Number

The dealer's branch office identification number is pre-filled if operator security provides access to one dealer and one branch office. If the branch number specified is not valid, the default branch office will appear on the verification and application windows.

Vision - New Account Setup - Microsoft Internet Explorer

File Edit View Favorites Tools Help

 **GLOBAL PRIME INVESTORS FUNDS**
Establish New Account

Enter Representative Information

The following information will be displayed on the application and/or submitted to the fund company. Please complete the required information and press the Next button to continue.

Dealer Number: 0050000 **IMPO
Branch Number: 005

Representative Number:
Representative Name: (optional)
Representative Phone Number: (optional)

Next

[Return to Menu](#) [Disclaimer](#) [Help](#)
[Contact Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved

Enter Representative Information—Branch Number

Dealer/Branch (Multiple)

If operator security includes access to multiple dealer/branch combinations, the **Dealer Number** field and the **Branch Number** field will be replaced by the **Dealer/Branch** drop-down list box. Regardless of operator security, the dealer/branch number is required to establish new accounts.

Enter Representative Information—Multiple Dealer/Branch Numbers

Representative Number

The representative's identification number is pre-filled if operator security includes access to one dealer and one representative number.

GLOBAL PRIME INVESTORS FUNDS
Establish New Account

Enter Representative Information

The following information will be displayed on the application and/or submitted to the fund company. *Please complete the required information and press the Next button to continue.*

Dealer Number: 00500001 - IMPO

Branch Number:

Representative Number: 003

Representative Name: (optional)

Representative Phone Number: (optional)

[Return to Menu](#) [Disclaimer](#) [Help](#)

[E-Mail to Vision@vision.com](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Enter Representative Information—Representative Number

09475637 13059
SECRET 28957460

Dealer/Representative (Multiple)

If operator security includes access to multiple dealer/representative combinations, the **Dealer Number** and **Representative Number** fields will be replaced by a **Dealer/Representative** drop-down list box. The representative number is required to establish new accounts regardless of operator security.

The screenshot shows a web browser window titled "Vision - New Account Setup - Microsoft Internet Explorer". The page header for "GLOBAL PRIME INVESTORS FUNDS" includes the text "Establish New Account". The main section is titled "Enter Representative Information" and contains a disclaimer: "The following information will be displayed on the application and/or submitted to the fund company. Please complete the required information and press the Next button to continue." Below this, there are four input fields: "Dealer/Representative" (a dropdown menu showing "0048:30 EDWARD D J / 003"), "Branch Number" (an empty text box), "Representative Name" (an empty text box with "(optional)" to its right), and "Representative Phone Number" (three empty text boxes with "(optional)" to the right of the last one). A "Next" button is located below the phone number fields. At the bottom of the form, there are links for "Return to Menu", "Disclaimer", "Help", and "E-Mail to Vision Support". The footer text reads "Copyright © 1999 DST Systems, Inc. All Rights Reserved".

Enter Representative Information—Multiple Dealer/Representative Numbers

Display Field Definitions

Representative Name

This optional field allows you to enter the name of the representative.

Representative Telephone Number

This optional field allows you to enter the representative's phone number.

Enter the required information and click Next. The Select Registration Type window displays. Select the type of account to be established and click Next.

The screenshot shows a web browser window titled "Vision - New Account Setup - Microsoft Internet Explorer". The page header for "GLOBAL PRIME INVESTORS FUNDS" includes the text "Establish New Account". The main heading is "Select Registration Type". Below this, a message states: "Please select one of the following registration types and press the Next button to continue." A list box contains the following options: INDIVIDUAL FEMALE, INDIVIDUAL MALE, JOINT TENANT IN COMMON, JOINT TENANT IN ENTIRETY, JOINT TENANT, ROTH IRA, TRADITIONAL IRA, and UNIFORM GIFTS/TRANS TO MINOR. Below the list box are two buttons: "Next" and "< Back to Representative Information". At the bottom of the page are links: "[Return to Menu]", "[Disclosure]", "[Help]", and "[E-Mail to Vision Support]". The footer text reads "Copyright © 1999 DST Systems, Inc. All Rights Reserved."

Select Registration Type

Depending on the account type selected, one of the following windows will appear.

The screenshot shows a web browser window titled "Vision - New Account Setup - INDIVIDUAL FEMALE - Microsoft Internet Explorer". The page header for "GLOBAL PRIME INVESTORS FUNDS" includes the text "Establish New Account - INDIVIDUAL FEMALE". The main heading is "Enter Registration Information". Below this, a message states: "Please enter the required information and press the Next button to continue." The form contains the following fields: "First Name:" with a text box, "Middle Initial:" with a text box, "Last Name:" with a text box, "SSN:" with three separate text boxes, and "Citizenship:" with two radio button options: "US Citizen" and "Resident Alien". Below the form are two buttons: "Next" and "< Back to Registration Type". At the bottom of the page are links: "[Return to Menu]", "[Disclosure]", "[Help]", and "[E-Mail to Vision Support]". The footer text reads "Copyright © 1999 DST Systems, Inc. All Rights Reserved."

Enter Registration Information—Individual (Female or Male)

Enter Registration Information—Joint (Joint Tenant, Joint Tenant in Common, Joint Tenant in Entirety)

Enter Registration Information—IRA (Roth or Traditional)

3 Vision - New Account Setup - UNIFORM GIFTS/TRANS TO MINOR - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - UNIFORM GIFTS/TRANS TO MINOR

Enter Registration Information
Please enter the required information and press the Next button to continue.

Custodian

First Name:
Middle Initial:
Last Name:
Donor State: Please Select a State

Citizenship
☐ US Citizen
☐ Resident Alien

Minor

First Name:
Middle Initial:
Last Name:
SSN:
(Optional for Minor SSN)
Birthdate:

[Return to Menu](#) [Disclaimer](#) [Help](#) [E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Enter Registration Information—Uniform Gifts/Transfer to Minor

Note that the social security number is required for US citizens or resident aliens and optional for joint shareowners and minors. If the fund company allows non-resident alien accounts, you may leave this field blank or enter all zeroes to establish a foreign account without a social security number.

Enter the registration information and click Next. The Enter Shareowner Address window appears.

004737 2632460

Enter Shareowner's Address

The Shareowner's name and address are required. The business and home phone are optional fields. The Donor State is required for Uniform Gift/Transfer to Minor.

Enter the appropriate information and click **Next**. The Verify Shareowner's Address window appears.

Verify Shareowner's Address

If changes are required, click **Back** to return to the Shareowner Address window. If the information is correct, click **Accept Address**.

- **Fiduciary accounts**—The Enter Beneficiary Information window appears (see below).
- **Non-Fiduciary Accounts**—The Select a Fund window appears (see page 33).

Enter Beneficiary Information window (fiduciary accounts only)

Primary Beneficiary

Enter the name, social security number, date of birth, relationship ("spouse" or "other") and % of Account of the individual(s) who should receive payment of the value of the IRA account upon the shareowner's death. The total of % of **Account** fields for all primary beneficiaries must equal 100%. If no percentage is specified, the account balance will be divided equally among all primary beneficiaries.

Secondary Beneficiary

Enter the name, social security number, date of birth, relationship ("spouse" or "other") and % of Account of the individual(s) who should receive payment of the value of the IRA account if no primary beneficiaries are living at the time of the shareowner's death. The total of % of **Account** fields for all secondary beneficiaries must equal 100%. If no percentage is specified, the account balance will be divided equally among all secondary beneficiaries.

Click **Next** to advance to the Select a Fund window.


Fund Name	Share Class	CUSIP	Ticker Symbol
<input type="checkbox"/> SHORT TERM MUNICIPAL			
<input type="checkbox"/> CLIENT SERVICES MONEY MARKET FUND	CLASS A SHARES	CUSIP3400	CSSSM
<input type="checkbox"/> MONEY MARKET			
<input type="checkbox"/> NO-LOAD FUND	CLASS A SHARES	CUSIP9300	CSMBF
<input type="checkbox"/> STATE MUNICIPAL - SHORT TERM			
<input type="checkbox"/> CLIENT SERVICES LOAD FUND	CLASS A SHARES	531545101	CSPAF
<input type="checkbox"/> CLIENT SERVICES LOAD TEST FUND	CLASS A SHARES	54400410T	CSMMF

Select a Fund window

To select a fund, check the box next to the Fund Name. You may select a maximum of 20 funds. Then click **Next** to continue. The Enter Investment Amount window appears.

3 Vision - New Account Setup - JOINT TENANT - Microsoft Internet Explorer

File Edit View Favorites Tools Help

 **GLOBAL PRIME INVESTORS FUNDS**
Establish New Account - TRADITIONAL IRA

Enter Investment Amount

New accounts will be established in the fund(s) which have a dollar amount entered. Please enter a dollar amount for each fund to be established, select a payment type and press the **Next** button to continue. If the management company allows accounts to be established without an initial investment, the Waive Initial Investment column will display. When waiving the minimum initial investment, enter either a dollar amount below the Minimum Investment in the Amount field or select the Waive Initial Investments check box for each fund.

WARNING: Initial purchases processed by electronically debiting the customer's bank account after the mutual fund's processing cut off time will be processed on the next business day.

Fund Name	Share Class	Minimum Investment	Current Year \$ Amount	Waive Initial Investments
CLIENT SERVICES MONEY MARKET FUND	CLASS A SHARES	\$ 50 00	<input type="text"/>	<input type="checkbox"/>
NO-LOAD FUND	CLASS A SHARES	\$ 100 00	<input type="text"/>	<input type="checkbox"/>
CLIENT SERVICES LOAD FUND	CLASS A SHARES	\$ 150 00	<input type="text"/>	<input type="checkbox"/>
CLIENT SERVICES LOAD TEST FUND	CLASS A SHARES	\$ 200 00	<input type="text"/>	<input type="checkbox"/>

IRA Fees and Information **IRA Fee Amount**

(The IRA Fee amount may only be paid by check.)

Payment Type - Applies to all funds selected
(Payment type not applicable when waiving the initial investment.)

☒ Electronically Debit Customer's Bank Account
☐ Mail Check to the fund

Next

[Back to Fund Selection](#)

[Return to Menu](#) | [Discussion](#) | [FAQ](#) | [E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Enter Investment Amount

Fund Name

Displays the names of funds available for new account establishment through Vision.

Share Class

Displays the share class for all funds selected on the Select a Fund window.

Minimum Investment

Displays the minimum investment dollar amount required for the initial purchase.

\$ Amount (Non-IRA Accounts Only)

Enables you to enter the new account initial purchase dollar amount. Whole dollar purchases do not require a decimal point. An entry in the \$ Amount field is required unless the **Waive Initial Investments** option is checked.

Prior Year \$ Amount (IRA Accounts Only)

Enables you to enter the initial IRA contribution dollar amount for the **prior** tax year. Whole dollar purchases do not require a decimal point. An entry in either the **Prior Year \$ Amount** or the **Current Year \$ Amount** field is required unless the **Waive Initial Investments** option is checked.

Note: This entry field is available only between January 1 and mid-April (usually April 15).

Current Year \$ Amount (IRA Accounts Only)

Enables you to enter the initial IRA contribution dollar amount for the **current** tax year. Whole dollar purchases do not require a decimal point. An entry in either the **Prior Year \$ Amount** or the **Current Year \$ Amount** field is required unless the **Waive Initial Investments** option is selected.

Waive Initial Investment

If the fund company allows you to waive the initial investment, you may select a fund by checking the **Waive Initial Investments** box or by entering an amount that is less than the **Minimum Investment** in the **Amount (or Current Year \$ Amount)** field.

If the fund does not allow waiver of the initial investment, the **Waive Initial Investments** column will not appear and the **Amount (or Current Year \$ Amount)** must be equal to or greater than the **Minimum Investment**.

Note: Automatic investment is required if the minimum initial investment is waived.

IRA Fee Amount (Fiduciary Accounts Only)

If the account type is Roth or Traditional IRA, you must enter an IRA fee amount. Click the IRA Fees and Information hyperlink to calculate the required fee.

Note: The IRA fee must be paid by check, even if the initial investment amount will be electronically debited from the customer's bank account.

Payment Type

- If you select **Electronically Debit Customer's Bank Account**, the Enter Bank Information for Initial Investment window appears.
 - If you select **Mail Check to the fund**, the Setup Account Options window appears.
 - If you select **Waive Initial Investments**, you do not need to specify a Payment Type.
-

Vision - New Account Setup -- JOINT TENANT - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS FUNDS
Establish New Account -- TRADITIONAL IRA

Enter Bank Information for Initial Investment
Please complete the required information and press the Next button to continue.

Enter a new Routing number and Bank Account number below.
Please refer to your check information for entry in the following fields:

Must be a Checking Account 9999

Name on Account: Date:

Pay to the order of \$
Dollars

Caisse Populaire Desjardins

Routing number: + Bank Account number:
(The routing number is the first 9 digits, followed by the bank account number)

[Return to Menu](#) | [Disclaimer](#) | [Help](#) | [E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Enter Bank Information for Initial Investment

Enter the bank routing number and account number for the shareholder's account to debit for the initial purchase. The bank routing number will be verified.

Set Up Account Options

The Set Up Account Options window is a menu of options available for the selected fund(s). Each account may have its own options with the exception of Letter of Intent (LOI) and Rights of Accumulation (ROA). Account option availability is determined by the fund. There are seven account options and two broker options.

Note: The following options will appear on the Set Up Account Options menu for the fund(s) selected only if the fund company allows the option.

Account Options

- **Distribution Options** are special dividend and capital gains processing rules.
- **Automatic Investment** allows systematic ACH purchases. Automatic investments are required if the operator waives initial investments.
- **Automatic Withdrawal** permits systematic withdrawals.

- **Rights of Accumulation (ROA)/Letter of Intent (LOI)** provides access to a series of menus that allow the user to link the new account to an existing LOI and/or ROA or to establish a new LOI and/or ROA. If Auto ROA is enabled for this fund and social code, a message will indicate that "Groupings for Rights of Accumulation (ROA) are established systematically" and the ROA option will be unavailable (see page 62).
- **Interested Party** lets you list the names and addresses of up to four interested parties.
- **Telephone Redemption** enables telephone redemption options for new accounts.
- **Telephone Exchanges** offer telephone exchange options for new accounts.
- **Checkwriting Redemption** indicates that check-writing privileges may be established by contacting the mutual fund company.

Broker Options

- **Suitability Form**—The new account suitability form helps the operator collect personal information to ensure that their customers' financial backgrounds are compatible with their investment selections.
- **Brokerage Application**—The brokerage application form allows the broker to develop detailed personal and financial profiles of new clients. It provides some of the same information as the Suitability Form, but brokers generally reserve the brokerage application for the initial purchases by new customers, and use the less detailed suitability form for subsequent purchases.

660627 2292460

Chapter 3:

Distribution Options

Distribution options provide the ability to determine how dividends and capital gains will be processed for new accounts.

When cash is selected for either dividends, capital gains, or both, the operator can select the form of payout. Only one form of payout is allowed if the cash option is selected for both dividends and capital gains.

Select Distribution Options

Funds Selected Today

Displays the name of the investment selection chosen to establish a new account.

Dividend Reinvest

Reinvest is the default.

Dividend Cash

Provides the ability to set up dividends earned to pay out in cash. Within the Cash Option, operators may select one of three options: **Pay by Check**, **Pay by Direct Deposit** or **Deposit into Existing Account**.

Capital Gains Reinvest

Capital Gains reinvest is the default.

Capital Gains Cash

Provides the ability to set up capital gains earned to pay out in cash. Within this option, operators may select one of three options: **Pay by Check**, **Pay by Direct Deposit** or **Deposit into Existing Account**.

Click **Next** to continue. If **Cash** is selected as the distribution option and **Deposit to Existing Account** is selected as the method of distribution, the Enter Deposit to Existing Account window appears.

Enter Deposit to Existing Account

Select a fund from the pull-down list, enter the existing account number and click **Next**. The Verify Distribution Options window appears.

If **Cash** is selected as the distribution option and **Direct Deposit** is selected as the method of distribution, the Distribution Options Verification window appears.

Vision - New Account Setup -- Individual Male - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
Establish New Account -- Individual Male

Verify Distribution Options

Please page down to review the information below and use the back button to return to the appropriate screen to make any changes. Please press the Next button to continue.

Distribution: CLIENT SERVICES	Pay dividends by check
SPECIALIZED PORTFOLIOS	Pay capital gains by check
CLIENT SERVICES MONEY MARKET FUND	Pay dividends by direct deposit
	Pay capital gains by direct deposit
NO-LOAD FUND	Reinvest dividends and capital gains to <i>CLIENT SERVICES LOAD TEST FUND</i>

Account: 55555

Registration Information
INV FIDUCIARY TRUST CO CUST
IRA R/O TAKASHI LIEBL
127 W 10TH ST # FL8
KANSAS CITY MO 64105-1716

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved

Verify Distribution Options

If all options are correct, click **Next**. The Bank Instructions window appears.

If all selections are correct, click **Next**. A bank instructions window will appear, allowing you to select existing shareowner bank instructions or to create new instructions. If bank instructions are being established for the first time, you will need to enter a routing number and bank account number. See page **Error!** **Bookmark not defined.** for information on the controls in this window.

Click **Next** to return to the Set Up Account Options window.

NOTES

650E2T 26932450

Chapter 4:

Automatic Investment

The Enter Automatic Investment window enables you to establish ACH automatic investment features for new accounts. While the Plan Starting Month and Frequency options are the same for all new accounts, the Investment Amount may vary.

Enter Automatic Investment

Plan Starting Month

Select one of the buttons to indicate the month in which systematic investment begins. The current month is the default. The start date will be the first business day of the month selected.

Frequency

Select the frequency by clicking **Every Month** or by checking at least one box to indicate the month(s) in which the systematic investment occurs.

Funds Selected Today

Displays a list of the funds that allow automatic investment from the list of funds selected in the Select Investment window. If the initial investment was waived on the Select Investments page, two red asterisks to the left of the fund name indicate that automatic investment is required.

Amount

Input the amount to be invested based on the investment frequency. If a systematic plan is selected, at least one field is required.

Minimum Investment

Displays the mutual fund's minimum investment amount.

Investment Days

Select the day(s) of the month to invest in the new account. Two days per fund may be selected by using the drop-down lists.

Click **Next**. A bank instructions window will appear, allowing you to select existing shareowner bank instructions or to create new instructions. If bank instructions are being established for the first time, you will need to enter a routing number and bank account number.

0947563 1309
SECRET 76952460

Chapter 5:

Automatic Withdrawal

The Enter Automatic Withdrawal window enables you to specify automatic withdrawal options for new accounts. While the Plan Starting Month and Frequency options are the same for all new accounts, the withdrawal amount may vary.

Enter Automatic Withdrawal

Plan Starting Month

Indicate the month in which the systematic withdrawal begins by selecting one button. The button for the current month is the default. The start date will be the first business day of the month selected.

Frequency

Indicate the frequency of automatic withdrawal by clicking the **Every Month** button or checking at least one withdrawal month.

Funds Selected Today

Displays the funds that allow ACH or check (draft) systematic withdrawals from the list of funds selected in the Select Investment window. An error message will appear next to the fund name if the fund selected does not allow automatic withdrawal.

Amount

Input the amount to be withdrawn based on the frequency specified. If a systematic plan is selected, at least one field is required.

Withdrawal Day of Month

Specify the day of the month on which withdrawals will be processed by selecting one day per fund from the drop-down list.

Note: If Java script is disabled on your Internet browser, this field will not appear on the Enter Automatic Withdrawal window. Fill in the other fields and click Next to access an additional window where you can specify the withdrawal day.

Payment Type

- **Pay by Check.** Click this button to indicate that the withdrawal should be issued in check form and sent to the shareowner's address as indicated on the Shareowner Address of Record window.
- **Pay by Direct Deposit.** Click this button to indicate that ACH withdrawals should be sent to the bank account specified on the Bank Account Information window. This is the default payment type.

Click **Next**. A bank instructions window will appear, allowing you to select existing shareowner bank instructions or to create new instructions. If bank instructions are being established for the first time, you will need to enter a routing number and bank account number.

Chapter 6:

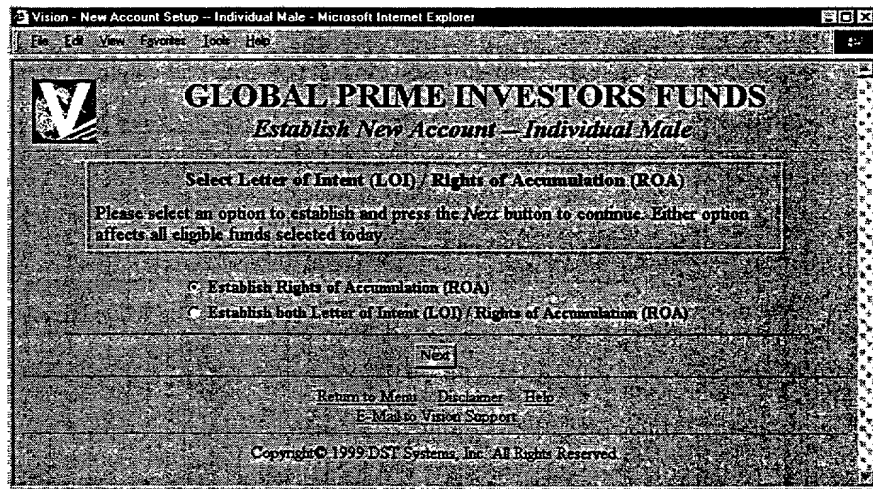
Rights of Accumulation/ Letter of Intent

The Rights of Accumulation (ROA)/Letter of Intent (LOI) option allows you to link new accounts to:

- an existing ROA
- a new ROA
- an existing LOI
- a new LOI

or any combination thereof.

If you selected **Setup Rights of Accumulation (ROA)/Letter of Intent (LOI)** from the Setup Account window, the Select Letter of Intent (LOI)/Rights of Accumulation (ROA) window appears. Choose an option and click Next.



Select Letter of Intent (LOI)/Rights of Accumulation (ROA)

Note: If Auto ROA is enabled for this management company, this window will not appear and you will advance to the Select LOI option window (see Select LOI Option (Auto ROA) section).

Establish ROA

If you select **Establish Rights of Accumulation (ROA)**, the Select Rights of Accumulation (ROA) Option window appears.

Vision - New Account Setup -- Individual Male - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Individual Male

Select Rights of Accumulation (ROA) Option
This option applies to selected funds that allow Rights of Accumulation agreements.
Please select an option and press the **Next** button to continue.

☒ **Link new accounts to an existing ROA number**
Select a fund and enter the account number.
Existing Fund:
Account:

☐ **Link new accounts to a new ROA number**

Next

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved

Select Rights of Accumulation (ROA) Option

Link New Accounts to an Existing ROA Number

Existing Fund

Use the drop-down box to select a fund that contains an ROA number that should be linked to the new accounts.

Account Number

Enter the account number of an account that contains an ROA number that should be linked to the new accounts.

Click **Next** to continue. The Verify Existing ROA Number window appears.

Vision - New Account Setup - Individual Male - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Individual Male

Verify Existing ROA Number

Please review the account information and press the **Next** button to continue.

ROA Number: 10099
Existing Fund: CLIENT SERVICES SPECIALIZED PORTFOLIOS
Existing Account: 12345
Registration Info: TROY D. SHIFF
209 NE BRIARCLIFF RD
KANSAS CITY MO 64116-4513

Next

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Verify Existing ROA Number

ROA Number

The number assigned to the existing fund and account for rights of accumulation (ROA).

Existing Fund

The fund name for the existing ROA.

Existing Account

The account number for the existing ROA.

Registration Info

Displays up to six lines of registration information for the existing fund account.

If all this information is correct, click **Next** to return to the Setup Account Options window.

560627 26952460

Link New Accounts to a New ROA Number

If you select this option, the Establish New ROA window appears.

Establish New ROA

Fund Name

Use the drop-down box to select a fund that contains an ROA number that should be linked to the new accounts.

Existing Account Number

Enter the number of the existing account that should be linked to the new ROA number.

When you have entered the required information, click Next. The Verify New ROA Account Linking window appears.

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Individual Male

Verify New ROA Account Linking
Please review the account information and press the Next button to continue.

Accounts not Available for Linking
The following accounts will not be linked with the new ROA because they are already linked to an existing ROA number.

Fund Name	Account Number	ROA Number
CLIENT SERVICES SPECIALIZED PORTFOLIOS	12345	10099

Accounts Not Found
The following accounts specified on the Establish New ROA page are not valid accounts and will not be linked with the new ROA number.

Fund Name	Account Number
CLIENT SERVICES SPECIALIZED PORTFOLIOS	33333

Accounts to be Linked with the New ROA
The following existing accounts will be linked with the new ROA number. Uncheck the accounts that should not be linked.

Confirm	Fund Name	Account Number	Registration Number
<input checked="" type="checkbox"/>	CLIENT SERVICES SPECIALIZED PORTFOLIOS	55555	LARRY FUSGORNE 142 PROVIDENCE LAWRENCE KS 66049-1628

Next

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved

Verify New ROA Account Linking

Accounts not Available for Linking

Indicates the fund, account number and ROA number for accounts already linked to an existing ROA. These accounts will not be linked to the new ROA number.

Accounts Not Found

Indicates invalid account numbers. These accounts will not be linked to the new ROA number.

Accounts to be Linked with the New ROA

Indicates that the fund will be linked to a new ROA number. Uncheck any funds that should not be linked.

Once you have confirmed that this information is correct, click **Next** to return to the Setup Account Options window.

Establish Both LOI and ROA

If you select Establish both Letter of Intent (LOI) and Rights of Accumulation (ROA) the Select Letter of Intent (LOI)/Rights of Accumulation (ROA) Option window appears.

Select Letter of Intent (LOI)/Rights of Accumulation (ROA) Option

Link New Accounts to Existing LOI and ROA Numbers

Existing Fund

Use the drop-down list to select the name of a fund containing an LOI and/or ROA number that should be linked to the new accounts.

Account

Enter the number of the account containing an LOI and/or ROA number that should be linked to the new accounts.

Click **Next** to continue. The Verify Existing LOI/ROA Numbers window appears.

Verify Existing LOI/ROA Numbers

ROA Number

The ROA number assigned to the existing fund.

LOI Number

The LOI number assigned to the existing fund.

Starting Date

The date the existing LOI was established.

Expiration Date

The date the existing LOI will expire.

Agreement Amount

The LOI agreement amount.

Amount Invested

The amount of money invested to date in the existing LOI.

Amount Due

The amount to be invested in the existing LOI.

Note: Purchase credits will be taken into account when calculating the Amount Due.

Existing Fund

The fund name for the existing LOI.

Existing Account

The account number for the existing LOI.

Registration Info

Displays up to six lines of registration information for the existing fund account.

If all this information is correct, click **Next** to return to the Setup Account Options window.

650627 2232460

Link New Accounts to New LOI and ROA Numbers

When this option is selected, the Establish New LOI/ROA window appears.

Establish New LOI/ROA

Select an Amount for LOI

This drop-down list contains the available LOI agreement amounts.

Fund Name

Use the drop-down list to select the names of funds that should be linked to the new LOI/ROA number.

Existing Account Number

Enter the number of the existing account(s) that should be linked to the new LOI/ROA number.

Click **Next** to continue. The Verify New LOI/ROA Account Linking window appears.

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Individual Male

Verify New LOI/ROA Account Linking

Please review the account information and press the **Next** button to continue.

Accounts not Available for Linking

The following accounts will not be linked with the new LOI/ROA numbers because they are already linked to existing LOI/ROA numbers.

Fund Name	Account Number	LOI Number	ROA Number
CLIENT SERVICES SPECIALIZED PORTFOLIOS	12345	343731	10099

Accounts Not Found

The following accounts specified on the Establish New LOI/ROA page are not valid accounts and will not be linked with the new LOI/ROA numbers.

Fund Name	Account Number
CLIENT SERVICES SPECIALIZED PORTFOLIOS	33333

Accounts to be Linked with the New LOI/ROA

The following existing accounts will be linked with the new LOI/ROA numbers. Uncheck the accounts that should not be linked.

Confirm	Fund Name	Account Number	Registration
<input checked="" type="checkbox"/>	CLIENT SERVICES SPECIALIZED PORTFOLIOS	55555	LARRY FUSGORNE 142 PROVIDENCE LAWRENCE KS 66049-1628

Next

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Verify New LOI/ROA Account Linking

Accounts not Available for Linking

Displays the fund name, account number, LOI number and ROA number for accounts that are already linked to an existing LOI/ROA. These accounts will not be linked to the new LOI/ROA number.

Accounts Not Found

Indicates invalid account numbers. These accounts will not be linked to the new LOI/ROA number.

Accounts to be Linked with the New LOI/ROA

Displays the fund name, account number and registration information for accounts that will be linked to the new LOI/ROA number. Uncheck any accounts that should not be linked.

Click **Next** to return to the Setup Account Options window.

Link New Accounts to a New LOI Number and an Existing ROA Number

Existing Fund

Use the drop-down list to select the name of a fund containing an ROA number that should be linked to the new accounts.

Account

Enter the number of the account containing an ROA number that should be linked to the new accounts.

Click **Next** to continue. The Verify Existing ROA Number window appears.

Refer to page 53 for a description of the controls in this window. Enter the required information and click **Next** to advance to the Establish New LOI window.

The screenshot shows a web browser window titled "Vision - New Account Setup - Individual Male - Microsoft Internet Explorer". The main heading is "GLOBAL PRIME INVESTORS FUNDS" with the subheading "Establish New Account - Individual Male". The section is titled "Establish New LOI". Below this, a text box says: "Please select an agreement amount and press the Next button to continue. Where applicable, enter up to five existing accounts by selecting a fund and entering an account number. If there are no existing accounts to be linked, please click Next to continue." There are two main sections: "Select an Amount for LOI" with a dropdown menu showing "Agreement Amount \$ 25000.00", and "Link Existing Accounts". The "Link Existing Accounts" section has a sub-instruction: "Select a fund and enter the account number to link existing accounts to the Letter of Intent." It contains two columns: "Fund Name" with five dropdown menus, all currently showing "CLIENT SERVICES SPECIALIZED PORTFOLIOS", and "Existing Account Number" with five empty text input fields. At the bottom of this section is a "Next" button. Below the "Link Existing Accounts" section are links for "Return to Menu", "Disclaimer", "Help", and "E-Mail to Vision Support". The footer text reads "Copyright © 1999 DST Systems, Inc. All Rights Reserved."

Establish New LOI

Select an Amount for LOI

This drop-down list contains the available LOI agreement amounts.

Fund Name

Use the drop-down list to select the names of funds that should be linked to the new LOI.

Existing Account Number

Enter the number of the existing account(s) that should be linked to the new LOI.

Enter the required information and click **Next** to continue. The Verify New LOI Account Linking window appears. If there are no existing accounts to link, click **Next** to return to the Setup Account Options window.

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Individual Male

Verify New LOI Account Linking
Please review the account information and press the **Next** button to continue.

Accounts not Available for Linking
The following accounts will not be linked with the new LOI number because they are already linked to an existing LOI number.

Fund Name	Account Number	LOI Number
CLIENT SERVICES SPECIALIZED PORTFOLIOS	12345	343731

Accounts Not Found
The following accounts specified on the Establish New LOI page are not valid accounts and will not be linked with the new LOI number.

Fund Name	Account Number
CLIENT SERVICES SPECIALIZED PORTFOLIOS	33333

Accounts to be Linked with the New LOI
The following existing accounts will be linked with the new LOI number. Uncheck the accounts that should not be linked.

Confirm	Fund Name	Account Number	Registration Number
<input checked="" type="checkbox"/>	CLIENT SERVICES SPECIALIZED PORTFOLIOS	55555	LARRY FUSGORNE 142 PROVIDENCE LAWRENCE KS 66049-1628

Next

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved

Verify New LOI Account Linking

Accounts not Available for Linking

Displays the fund name, account number and LOI number for accounts that are already linked to an existing LOI number. These accounts will not be linked to the new LOI number.

Accounts Not Found

Indicates invalid account numbers. These accounts will not be linked to the new LOI number.

Accounts to be Linked with the New LOI

Displays the fund name, account number and registration information for accounts that will be linked to the new LOI number. Uncheck any accounts that should not be linked.

If all this information is correct, click **Next** to return to the Setup Account Options window.

Link New Accounts to an Existing LOI Number and a New ROA Number

Use the drop-down list to select the name of a containing an LOI number that should be linked to the new accounts.

Account

Enter the number of the account containing an LOI that should be linked to the new accounts.

Click **Next** to continue. The Verify Existing LOI Number window appears.

660627 26352460

Vision - New Account Setup - Individual Male - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Individual Male

Verify Existing LOI Number
Please review the account information and press the **Next** button to continue.

LOI Number: 343731
Starting Date: 06/10/1999
Expiration Date: 07/10/2000
Agreement Amount: 25000.00
Amount Invested: 0.00
Amount Due: 25000.00
Existing Fund: CLIENT SERVICES SPECIALIZED PORTFOLIOS
Existing Account: 12345
Registration Info: TROY D STIFF
209 NE BRIARCLIFF RD
KANSAS CITY MO 64116-4513

Next

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved

Verify Existing LOI Number

LOI Number

The LOI number assigned to the existing fund.

Starting Date

The date the existing LOI was established.

Expiration Date

The date the existing LOI will expire.

Agreement Amount

The LOI agreement amount.

Amount Invested

The amount of money invested to date in the existing LOI.

Amount Due

The amount to be invested in the existing LOI.

Existing Fund

The fund name for the existing LOI.

Existing Account

The account number for the existing LOI.

Registration Info

Displays up to six lines of registration information for the existing fund account.

If all this information is correct, click **Next** to advance to the Establish New ROA window.

Refer to page 50 for a description of the controls in this window. Enter the required information and click **Next** to return to the Setup Account Options window.

0047337 2003/04/09

Select LOI Option (Auto ROA)

If the fund company allows Auto ROA, Vision automatically assigns ROA numbers to all qualified related accounts. No ROA options will appear on the Setup Account Options window.

Vision - New Account Setup - Individual Male - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Individual Male

Setup Account Options

The following options are available for the selected account(s). If no options are desired, please refer to the *Setup Broker Options* section below or press the *Next* button to complete the application process.

Change Distribution Options
Cancel (Defaults to reinvest for both dividends and capital gains)

Letter of Intent (LOI)
(Changes for Rights of Accumulation (ROA) are established systematically)

Setup Interested Party

Setup Telephone Redemption
(Defaults to allow telephone redemptions by check)

Note: Checkwriting Redemption
(Please contact the mutual fund company to establish checkwriting privileges)

Setup Broker Options

The following are broker specific options. If no options are desired, please press the *Next* button to complete the application process.

Setup Suitability Form

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved

Setup Account Options (with Auto ROA)

Click **Letter of Intent (LOI)** to advance to the Select Letter of Intent (LOI) Option window. From this window, you can

- link new accounts to an existing LOI, or
- link new accounts to a New LOI.

Select Letter of Intent (LOI) Option

Link New Accounts to an Existing LOI Number

When you select **Link New Accounts to an Existing LOI Number**, the Verify Existing LOI Number window appears. Refer to page 61 for a description of this window.

If all this information is correct, click **Next** to return to the Setup Account Options window.

Link New Accounts to a New LOI Number

When you select **Link New Accounts to a New LOI Number**, the Establish New LOI window will appear. Refer to page 57 for a description of this window.

Enter the required information and click **Next** to advance to the Verify New LOI Account Linking window. If all this information is correct, click **Next** to return to the Setup Account Options window.

05475637.123099
660627.239460

Chapter 7:

Interested Party

You can use the Enter Interested Party window to establish up to four interested parties for each new account. This allows you to mail copies of the shareholder's account confirmations and statements to the designated parties.

The screenshot shows a web browser window titled "Vision - New Account Setup - Individual Male - Microsoft Internet Explorer". The page header for "GLOBAL PRIME INVESTORS FUNDS" includes the text "Establish New Account - Individual Male". The main heading is "Enter Interested Party". Below this, a text box instructs the user: "Please select an address type and enter the name, address, city, state and zip code for each interested party and press the Next button to continue. For Domestic address, please type the two character state code following the city. This option affects all funds selected today." The form contains two identical sections for entering party information. Each section has an "Address Type" group with radio buttons for "Domestic" and "Foreign", and a "Name & Address" group with five text input fields. A "Next" button is located at the bottom center of the form area. At the very bottom of the page, there are links for "Return to Menu", "Disclaimer", and "Help", along with a copyright notice: "Copyright © 1999 DST Systems, Inc. All Rights Reserved."

Enter Interested Party

Address Type

Designates the address of an interested party as a domestic or foreign address.

Name and Address

Enter the name and address for the Interested Party. Lines 2 through 6 are for an address, city, state and zip code. This information is optional.

Once the information has been entered, click **Next**. Select another account option from the Setup Account Options window.

094737 26352460

Chapter 8:

Telephone Redemption

The Telephone Redemption window enables you to perform redemptions by telephone. Telephone redemption options vary from fund to fund. Only those options approved by the fund company will appear on this menu.

Select Telephone Redemption

Allow telephone redemptions by check

Click this button to indicate that the telephone redemptions should be issued by check. This is the default.

Allow telephone redemptions by check or direct deposit

Click this button to indicate that telephone redemptions can be issued by either check or ACH.

Do not allow telephone redemptions

Click this button to disallow telephone redemptions for the new accounts.

Click **Next**. A bank instructions window will appear, allowing you to select existing shareowner bank instructions or to create new instructions. If bank instructions are being established for the first time, you will need to enter a routing number and bank account number. Click **Next** to return to the Set Up Account Options window.

650327 2952460

Chapter 9:

Telephone Exchange and Check-Writing Redemptions

Telephone Exchange

The Select Telephone Exchange window provides the ability to establish telephone exchange options for new accounts. Uncheck the box to override the default for funds that establish all new accounts with telephone exchange capability. If the fund does not allow telephone exchange for new accounts, this option will not appear. Click **Next** to continue.

Vision - New Account Setup -- Individual Male - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
Establish New Account -- Individual Male

Select Telephone Exchange

Please select the mutual funds to allow telephone exchange processing. A mutual fund listed with a check box is pre-selected by the management company to allow telephone exchange. Please un-select the mutual funds to not allow telephone exchange processing.

Fund Name

☐ CLIENT SERVICES SPECIALIZED PORTFOLIOS

☒ CLIENT SERVICES MONEY MARKET FUND

☒ NO-LOAD FUND

Next

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved

Select Telephone Exchange

PLEASE CONTACT THE MUTUAL FUND COMPANY TO ESTABLISH CHECK-WRITING PRIVILEGES.

Chapter 10:

Completing the Application

Brokerage and Suitability Forms

From the Set Up Account options window, the operator can select either one of two forms to determine ensure a good match between the fund, the investment selections, and the customer's financial background. You can access either of these electronic forms any time during new account establishment from the hyperlinks at the bottom of the Set Up Account Options window.

Suitability Form

The New Account Suitability form allows the operator to compile personal information about customers to ensure their financial backgrounds are compatible with their investment selections. This information is not retained by the fund.

Brokerage Application

The Brokerage Application form allows the broker to develop detailed personal and financial profiles of new clients. It provides some of the same information as the Suitability Form, but brokers generally reserve the brokerage application for the initial purchase by a new customer, and complete the less detailed suitability form for subsequent purchases. This information is often used to establish a new account with the brokerage and is not retained by the fund.

0542363 26932450

New Account Suitability Information

C:\nasu\suitabilityapp.html - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Enter New Account Suitability Information

The following questions represent information required by your broker to produce a Suitability Application for the new accounts being established. Please enter the applicable information and press the Next button to continue. If you are not certain of a particular value, please make a reasonable estimation.

Personal Information

Investor Name: SIDONIE GABRIELLE COLETTE
 Occupation:
 Nature of Business:
 SSN: 264-11-7472
 Birthdate: (MM/DD/YYYY)
 Home Phone Number:
 Business Phone Number: (816) 435-8105
 Marital Status: ☐ Single ☐ Married ☐ Widowed
 Number of Dependents:
 Tax Bracket: %
 Annual Income: \$
 Liquid Assets: \$
 Net Worth: \$ (excluding home and personal property)
 Is the Investor employed by or associated with a member firm of NASD? ☐ Yes ☐ No

Investment Information

Fund Name (CUSIP)	Share Class	Initial Investment Amount
CLIENT SERVICES MONEY MARKET FUND (CUSIP340)	CLASS A SHARES	\$50.00
NO-LOAD FUND (CUSIP9300)	CLASS A SHARES	\$100.00
CLIENT SERVICES LOAD FUND (CSLSA301)	CLASS A SHARES	\$5.00
CLIENT SERVICES LOAD TEST FUND (S4400407)	CLASS A SHARES	\$200.00
Total:		\$350.00

Source of Funds

☐ Inheritance
☐ Rollover
☐ Pension Distribution
☐ Personal
☐ Transfer
☐ Other

Purpose(s) of Investment

☐ Retirement
☐ Professional Management
☐ Diversified Investment
☐ Accumulated Savings
☐ Gift
☐ Other

Portfolio Objective(s)

☐ Growth
☐ Income
☐ Safety of Principal
☐ Total Return
☐ Tax Deferral
☐ Other

Investment Experience

Years of Investing:
☐ Stocks
☐ Bonds
☐ Mutual Funds
☐ Partnerships
☐ Options
☐ Other

Broker Use Only
 Broker Reference Number:

[Return to Menu] [Disclaimer] [Help] [E-Mail to Vision Support]

Copyright © 1999 DST Systems, Inc. All Rights Reserved

New Account Suitability Information

Personal Information

Investor Name

Displays the shareowner's name as it appears on the Enter Registration Information window.

Occupation

An entry field for the primary shareowner's occupation.

Nature of Business

An entry field for a brief description of the primary shareowner's occupation.

SSN

Allows entry of the primary shareowner's social security number if none was specified on the Enter Registration Information window.

Birthdate

Allows entry of the primary shareowner's date of birth if none was specified on the Enter Registration Information window. It must be entered in the MM/DD/YYYY format.

Home Phone Number

Enables you to enter the primary shareowner's home phone number if none was indicated on Enter Shareowner Address window.

Business Phone Number

Enables you to enter the primary shareowner's business phone number if none was indicated on Enter Shareowner Address window.

Marital Status

Click one of the buttons to indicate the marital status of the investor.

Number of Dependents

Enables you to enter the number of dependents claimed by the investor.

660327 0035/480

Tax Bracket

Enables you to enter the investor's federal income tax percentage.

Annual Income

Enables you to enter the investor's annual income.

Liquid Assets

Enables you to enter the amount of the investor's liquid assets.

Net Worth

Enables you to indicate the investor's net worth (excluding home and personal property).

Is the Investor employed by or associated with a member firm or NASD?

Enables you to indicate whether the investor is employed by or associated with a member firm of the National Association of Securities Dealers (NASD).

Joint Investor Information

Joint Investor

Displays the minor or first shareowner specified on a joint account as it appears on the Enter Registration Information window.

Occupation

An entry field for the joint investor's occupation.

Nature of Business

An entry field for a brief description of the joint investor's occupation.

SSN

Allows entry of the joint investor's social security number if none was specified on the Enter Registration Information window.

Birthdate

Allows entry of the joint investor's date of birth if none was specified on the Enter Registration Information window. It must be entered in the MM/DD/YYYY format.

Home Phone Number

Enables you to enter the joint investor's home phone number if none was indicated on Enter Shareowner Address window.

Business Phone Number

Enables you to enter the joint investor's business phone number if none was indicated on Enter Shareowner Address window.

Annual Income

Enables you to enter the joint investor's annual income.

Liquid Assets

Enables you to enter the amount of the joint investor's liquid assets.

Net Worth

Enables you to indicate the joint investor's net worth (excluding home and personal property).

Tax Bracket

Enables you to enter the joint investor's federal income tax percentage.

Minor Information

Minor Name

Displays the minor's name if listed on the Enter Registration Information window.

Minor SSN

Enables you to enter the minor's Social Security number (the SSN will fill in automatically if it was entered on a previous window).

Minor Birthdate

Enables you to enter the minor's date of birth.

Investment Selection

Fund Name (CUSIP)

Displays the name(s) of the fund(s) indicated on the Select a Fund window.

Share Class

Displays the share class of all funds indicated on the Select a Fund window.

Initial Investment Amount

Displays the initial investment amount for each fund.

Total

Displays the total dollar amount for all new accounts being established.

Payment Type

Displays the method of payment chosen for the investment selections.

Source of Funds

Check one or more boxes to indicate how the investment will be funded or use the "Other" box to specify a source that is not on this list.

Purpose(s) of Investment

Check one or more boxes to indicate the reasons for the investment selections funded or use the "Other" box to specify a reason that is not on this list.

Portfolio Objective(s)

Check one or more boxes to indicate the objectives of the mutual funds selected use the "Other" box to specify an objective that is not on this list.

Investment Experience

Enter the number of years and check one or more boxes to indicate the type of investment experience. You can also use the "Other" box to specify any investment experience that is not on this list.

Broker Use Only

Broker Reference Number

Enables you to assign a broker reference number to this trade.

Once all the information is entered, click **Next**. The Verify New Account Suitability Information window appears.

If all the information is correct, click **Next** to return to the Setup Account Options window, or click **Back** to correct any errors.

When you have selected all the options for this account, click **Next** to advance to the Account Application Verification window.

Broker Application

C:\Anasubrokerapp.html - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Enter Broker Application Information

The following questions represent information required by your broker to produce a Brokerage Application for new accounts being established. Please enter the applicable information and press the Next button to continue. If you are not certain of a particular value, please make a reasonable estimation.

Personal Information

Account Identifier: ☐ New Customer ☐ Existing Customer

Employee Account: ☐ Yes ☐ No

Investor Name: SIDONIE GABRIELLE COLETTE

Occupation:

Nature of Business:

Employer Name:

Employer Address:

Number of Years Employed:

SSN: 264-11-7472

Birthdate (MM/DD/YYYY):

Home Phone Number:

Business Phone Number: (816)435-8105

Address: 3731 WYOMING ST APT 2N,
KANSAS CITY MO 64111-3855

Type: Joint Tenant

Citizenship: Resident Alien

Marital Status: ☐ Single ☐ Married ☐ Widowed

Number of Dependents:

Annual Income: \$

Liquid Assets: \$

Net Worth: \$ (excluding home and personal property)

Tax Bracket: %

Is the Investor(s) licensed as a Registered Representative? ☐ Yes ☐ No

If yes, broker/dealer name:

Is Investor(s) related to a Registered Representative? ☐ Yes ☐ No

If yes, name of Registered Representative:

Is the Investor(s) director/officer of a publicly traded company? ☐ Yes ☐ No

If yes, name of company:

Is the Investor(s) 10% owner of a publicly traded company? ☐ Yes ☐ No

If yes, name of company:

Is the Investor employed by or associated with a member firm of NASD? ☐ Yes ☐ No

Broker Application Information window (Part I)

C:\Anasubrokerapp.html - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Joint Investor Information

Investor Name: HENRI DE JOUVENAL

Occupation:

Nature of Business:

Employer Name:

Employer Address:

Number of Years Employed:

SSN:

Birthdate: (MM/DD/YYYY)

Home Phone Number:

Business Phone Number: Ext:

Annual Income: \$

Liquid Assets: \$

Net Worth: \$ (excluding home and personal property)

Tax Bracket:

Investment Information

Fund Name (CUSIP)	Share Class	Initial Investment Amount
CLIENT SERVICES SPECIALIZED PORTFOLIOS (CUSIP9700)	CLASS A SHARES	\$1.00
CLIENT SERVICES MONEY MARKET FUND (CUSIP1400)	CLASS A SHARES	\$1.00
NO-LOAD FUND (CUSIP9300)	CLASS A SHARES	\$30.00
CLIENT SERVICES LOAD FUND (3114010)	CLASS A SHARES	\$250.00
CLIENT SERVICES LOAD TEST FUND (3440400)	CLASS A SHARES	\$225.00
Total:		\$525.00

Payment Type: ☐ Electronically Debit Customer's Bank Account

Transaction Date: 09/20/1999

Source of Funds:

- ☐ Inheritance
- ☐ Rollover
- ☐ Pension Distribution
- ☐ Personal
- ☐ Transfer
- ☐ Other

Purpose(s) of Investment:

- ☐ Retirement
- ☐ Professional Management
- ☐ Diversified Investment
- ☐ Accumulated Savings
- ☐ Gift
- ☐ Other

Portfolio Objective(s):

- ☐ Growth
- ☐ Income
- ☐ Safety of Principal
- ☐ Total Return
- ☐ Tax Deferral
- ☐ Other

Investment Experience:

Years of Investing:

- ☐ Stocks
- ☐ Bonds
- ☐ Mutual Funds
- ☐ Partnerships
- ☐ Options
- ☐ Other

Portfolio Time Horizon:

- ☐ Short-term (1-4 years)
- ☐ Intermediate term (4-9 years)
- ☐ Long-term (10+ years)

Risk Exposure:

- ☐ Low
- ☐ Moderate
- ☐ Speculative
- ☐ High Risk

Dealer Information

Dealer Name:

Dealer/Branch Number: 11111/111

Representative Number: 1234

Representative Name: GERTRUDE STEIN

Representative Phone Number:

Reference Information

Broker Reference:

Personal Reference:

Bank Reference:

Broker Use Only

Broker Trade Reference Number:

[Return to Menu] [Disclosure] [Help] [E-Mail Vision Support]

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Broker Application Information window (Part II)

Personal Information

Account Identifier

Click one of these buttons to indicate whether the investor is a new or existing customer.

Employee Account

Click one of these buttons to indicate whether the investor is an employee of the brokerage firm.

Investor Name

Displays the shareowner's name as indicated on the Enter Registration Information window.

Occupation

Enables you to indicate the investor's occupation.

Nature of Business

Enables you to enter a brief description of the investor's occupation.

Employer Name

Enables you to enter the name of the investor's employer.

Employer Address

Enables you to indicate the address of the investor's employer.

Number of Years Employed

Enables you to specify the number of years the investor has been employed.

SSN

Enables you to enter the investor's Social Security number if none was specified on the Enter Registration Information window.

Birthdate

Allows entry of the joint investor's date of birth if none was specified on the Enter Registration Information window. It must be entered in the MM/DD/YYYY format.

Home Phone Number

Enables you to enter the investor's home telephone number.

05473637 123099
650327 26352450

Business Phone Number

Enables you to enter the investor's business telephone number (the number will fill in automatically if it was listed on a previous window).

Address

Displays the investor's address as indicated on the Enter Shareowner Address window.

Type

Displays the type of registration.

Citizenship

Displays the shareowner's citizenship as specified on the Enter Registration Information window.

Marital Status

Click one of these buttons to indicate the marital status of the investor.

Number of Dependents

Enables you to enter the number of dependents claimed by the investor.

Annual Income

Enables you to enter the investor's annual income.

Liquid Assets

Enables you to enter the amount of the investor's liquid assets.

Net Worth

Enables you to indicate the investor's net worth (excluding home and personal property).

660627 2632460

Tax Bracket

Enables you to enter the investor's federal income tax percentage.

Is investor licensed as a Registered Representative?

Click one of these buttons to indicate whether the investor is licensed as a Registered Representative.

If yes, broker/dealer name

If yes, (above), the name of the broker/dealer.

Is investor related to a Registered Representative?

Click one of these buttons to indicate whether the investor is related to a Registered Representative.

If yes, name of Registered Representative

If yes (above), enter the Registered Representative's name.

Is investor a director/officer of a publicly traded company?

Click one of these buttons to indicate whether the investor is a director or officer of a publicly traded company.

If yes, name of company

If yes (above), enter the name of the company.

Is investor employed by, or associated with, a member firm of NASD?

Click one of these buttons to indicate whether the investor is employed by, or associated with, a member firm of the National Association of Securities Dealers (NASD).

Joint Investor Information

Joint Investor

Displays the minor or first shareowner specified on a joint account as it appears on the Enter Registration Information window.

650322 2232450

Occupation

An entry field for the joint investor's occupation.

Nature of Business

An entry field for a brief description of the joint investor's occupation.

Employer Name

Enables you to enter the name of the joint investor's employer.

Employer Address

Enables you to indicate the address of the joint investor's employer.

Number of Years Employed

Enables you to specify the number of years the joint investor has been employed.

SSN

Allows entry of the joint investor's social security number if none was specified on the Enter Registration Information window.

Birthdate

Allows entry of the joint investor's date of birth if none was specified on the Enter Registration Information window. It must be entered in the MM/DD/YYYY format.

Home Phone Number

Enables you to enter the joint investor's home phone number if none was indicated on Enter Shareowner Address window.

Business Phone Number

Enables you to enter the joint investor's business phone number if none was indicated on Enter Shareowner Address window.

Annual Income

Enables you to enter the joint investor's annual income.

0947337 123093
660627 26332460

Liquid Assets

Enables you to enter the amount of the joint investor's liquid assets.

Net Worth

Enables you to indicate the joint investor's net worth (excluding home and personal property).

Tax Bracket

Enables you to enter the joint investor's federal income tax percentage.

Minor Information

Minor Name

Displays the minor's name if listed on the Enter Registration Information window.

Minor SSN

Enables you to enter the minor's Social Security number (the SSN will fill in automatically if it was entered on a previous window).

Minor Birthdate

Enables you to enter the minor's date of birth.

Investment Selection

Fund Name (CUSIP)

Displays the name(s) of the fund(s) indicated on the Select a Fund window.

Share Class

Displays the share class of all funds indicated on the Select a Fund window.

Initial Investment Amount

Displays the initial investment amount for each fund.

Total

Displays the total dollar amount for all new accounts being established.

Purchase Type

Displays the method of payment chosen for the investment selections.

660627 2232450

Source(s) of Funds

Enables you to indicate the source(s) of the investment dollars.

Purpose(s) of Investment

Enables you to indicate the reason(s) for the investment.

Portfolio Objective(s)

Enables you to indicate the objective(s) of the mutual fund selected.

Investment Experience

Enables you to indicate the amount and type of the investor's experience.

Portfolio Time Horizon

Enables you to indicate the time frame for the investor's future investments.

Risk Exposure

Enables you to indicate the degree of exposure the investor is willing to risk.

Dealer Information

Dealer Name

Displays the name of the dealer as shown on the Enter Representative Information window.

Dealer/Branch Number

Displays the dealer and branch number shown on the Enter Representative Information window.

Representative Name

Displays the name of the representative as shown on the Enter Representative Information window.

Representative Phone Number

Enables you to enter the dealer representative's phone number.

Reference Information

Broker Reference

Enables you to enter a broker reference number for the investor.

Personal Reference

Enables you to enter a personal reference number for the investor.

Bank Reference

Enables you to enter a bank reference number for the investor.

Broker Use Only

Broker Trade Reference Number

Enables you to assign a broker reference number to this trade.

Once all the information is entered, click **Next**. The Verify Broker Application Information window appears.

If all the information is correct, click **Next** to return to the Setup Account Options window, or click **Back** to correct any errors.

When you have selected all the options for this account, click **Next** to advance to the Account Application Verification window.

Account Application Verification


The Account Application Verification window allows for the review of all information entered prior to printing or submitting the new account for setup.

There are several versions of this window depending on the account type and payment method. If the initial investment will be paid via ACH, bank instructions will appear in this window. For payment by check, click the **Display/Print Application** button to print a copy of the application that you can mail to the fund with the check.

05475637 13099
660627 263450

2 Vision - New Account Setup -- JOINT TENANT - Microsoft Internet Explorer

File Edit View Favorites Tools Help

 **GLOBAL PRIME INVESTORS FUNDS**
Establish New Account -- JOINT TENANT
Today's date: 09/28/1999 11:51:37 PM CDT

Account Application Verification

Please page down to review the information below and use the back button to return to the appropriate page to make any changes before submitting and/or printing.

Registration Information

SIDONIE GABRIELLE COLETTE &
HENRI DE JOURNAL JTWROS
3731 WYOMING ST APT 2N
KANSAS CITY MO 64111-5835

Type: JOINT TENANT
SSN: 264-11-7472
Citizenship: Resident Alien
Bus. Phone: (816) 455-8105
E-mail: sgc@chen.com

Investment Selection

Fund Name (CUSIP)	Share Class	Initial Investment Amount
CLIENT SERVICES SPECIALIZED PORTFOLIOS (CUSIP9700)	CLASS A SHARES	\$.00
CLIENT SERVICES MONEY MARKET FUND (CUSIP2400)	CLASS A SHARES	\$.00
NO-LOAD FUND (CUSIP9200)	CLASS A SHARES	\$ 50.00
CLIENT SERVICES LOAD FUND (31543101)	CLASS A SHARES	\$ 250.00
CLIENT SERVICES LOAD TEST FUND (54004101)	CLASS A SHARES	\$ 225.00
Payment Type: Electronically Debit Customer's Bank Account		Total: \$ 525.00

Bank Account Information for Initial Investment
Bank Name: PEOPLES BANK OF MISSOURI
Bank Address: PO BOX 419226
KANSAS CITY MO 64141-0000
Account Number: 123456789
ABA Routing#: 101000695

Account Information

Distribution:	CLIENT SERVICES SPECIALIZED PORTFOLIOS	REINVEST dividends REINVEST capital gains
CLIENT SERVICES MONEY MARKET FUND	Pay dividends by check Pay capital gains by check	
NO-LOAD FUND	Pay dividends by direct deposit Pay capital gains by direct deposit	
CLIENT SERVICES LOAD FUND	Reinvest dividends and capital gains to NO-LOAD FUND Account: 3000 Registration Information DEBBIE R LOPEZ 503 PACIFIC DR BELTON MO 64012-2935	
CLIENT SERVICES LOAD TEST FUND	Pay dividends by check Pay capital gains by check	

Bank Account Information for Distribution
Bank Name: PEOPLES BANK OF MISSOURI
Bank Address: PO BOX 419226
KANSAS CITY MO 64141-0000
Account Number: 123456789
ABA Routing#: 101000695

Account Application Verification (Part I)

3 Vision - New Account Setup - JOINT TENANT - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Automatic Investment: Starting Month: Sep
Frequency: Apr Sep

Funds Selected Today	Amount	Investment Day(s)
CLIENT SERVICES SPECIALIZED PORTFOLIOS	\$100.00	01
CLIENT SERVICES MONEY MARKET FUND	\$50.00	15
NO-LOAD FUND	\$25.00	01
CLIENT SERVICES LOAD FUND	\$75.00	15
CLIENT SERVICES LOAD TEST FUND	\$150.00	01

Bank Account Information for Automatic Investment
Bank Name: PEOPLES BANK OF MISSOURI
Bank Address: PO BOX 419726
KANSAS CITY MO 64141-0000
Account Number: 123456789
ABA Routing #: 101000095

Automatic Withdrawal: Starting Month: Sep
Frequency: May Oct

Funds Selected Today	Amount	Withdrawal Day	Payment Type
CLIENT SERVICES SPECIALIZED PORTFOLIOS	\$50.00	15	Direct Deposit
CLIENT SERVICES MONEY MARKET FUND	\$50.00	01	Check
CLIENT SERVICES LOAD FUND	\$75.00	01	Direct Deposit
CLIENT SERVICES LOAD TEST FUND	\$150.00	15	Check

Bank Account Information for Automatic Withdrawal
Bank Name: PEOPLES BANK OF MISSOURI
Bank Address: PO BOX 419726
KANSAS CITY MO 64141-0000
Account Number: 123456789
ABA Routing #: 101000095

Letter of Intent: Establish a new LOI
Agreement Amount: \$25,000.00

New Funds Included in Link:
CLIENT SERVICES SPECIALIZED PORTFOLIOS
CLIENT SERVICES LOAD FUND
CLIENT SERVICES LOAD TEST FUND

Existing Accounts to be Linked to a New LOI:
Existing Fund: CLIENT SERVICES SPECIALIZED PORTFOLIOS
Existing Account(s): 5555

Rights of Accumulation: The new accounts and any eligible related accounts will be automatically linked together for ROA.

Telephone Redemption:

Fund Name	Options
CLIENT SERVICES SPECIALIZED PORTFOLIOS	Telephone redemptions not allowed
CLIENT SERVICES MONEY MARKET FUND	Telephone redemptions not allowed
NO-LOAD FUND	Telephone redemptions not allowed
CLIENT SERVICES LOAD FUND	Telephone redemptions not allowed

Telephone Exchange: The following funds have been selected for telephone exchange:
Fund Name:
CLIENT SERVICES SPECIALIZED PORTFOLIOS
CLIENT SERVICES MONEY MARKET FUND

Representative Information
Dealer Number: 1111
Branch Number: 111
Rep Number: 1234
Representative Name: ORTRUDE STEIN
Representative Phone Number:

By clicking Establish Account(s) Electronically, the new account(s) will be established real time at the fund, and the initial purchase will be sent automatically via Automated Clearing House (ACH) as instructed. The fund company has ACH processing rules which may affect this transaction's trade date. The fund company reserves the right to reject this transaction. Additional instructions will be provided on how to print the application and suitability form, if applicable.

[Return to Menu] [Disclaimer] [Help] [E-Mail to Vendor Support]

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Account Application Verification (Part II)

Registration Information

This section contains the full registration (name, registration type and address) as well as the type of account, SSN, citizenship, business and home telephone numbers and e-mail address.

Investment Selection

Displays the fund name, share class, initial investment amount, total investment, payment type, and bank instructions for all funds selected. The **Initial Investment Amount** will display as "0.00" if the initial investment was waived. **Total, Payment Type and Bank Account Information** for Initial Investment will not appear if the initial investment was waived for all funds selected.

Account Options

Distributions

Displays the dividend and capital gains processing instructions for each mutual fund selected. The reinvest to account registration will appear for mutual funds when the reinvestment diversification plan was selected. Additionally, for mutual funds paying dividends and capital gains by direct deposit, the bank accounts instructions will appear.

Automatic Investment

Displays the plan starting month, investment frequency, investment amounts and days, and bank instructions.

Automatic Withdrawal

Displays the plan starting month, withdrawal frequency, investment amounts and days, and bank instructions.

Letter of Intent

Displays the LOI options specified, the registration information for existing accounts linked to the new LOI, and the LOI information and registration information where the new account were linked to an existing LOI.

Rights of Accumulation

Displays the ROA options specified, the registration information for existing accounts linked to the new ROA, and the ROA information and registration information where the new accounts were linked to an existing ROA.

Interested Party

Displays up to four interested parties' names and addresses.

05475637 123099
6503227 28952450

Telephone Redemption

Displays the telephone redemption processing options and bank instructions.

Telephone Exchange

Indicates whether or not telephone exchange was specified.

Representative Information

Displays the dealer number and name, branch number, representative number and name as well as the representative phone number.

Establish Account(s) Electronically

Press this button to format and transmit the new account information to the fund through the Web server. The accounts will be established in real time. The confirmation or remittance will include the trade reference code and account number established for each mutual fund selected.

Display/Print Application (for Payment by Check)

This button appears only if you selected **Mail Check to the fund** as the payment type on the Enter Investment Amount window and allows you to print a copy of the application to mail to the fund with the check.

650327 2632450

Account Application Confirmation (ACH Payment)

If the shareholder is establishing an account via ACH, an Account Application Confirmation window appears.

GLOBAL PRIME INVESTORS FUNDS
Account Application Confirmation
Date/Time: 06/06/99 12:31:44 PM CST

Please print this page.

You have approved a request to establish new accounts listed below with a total initial investment of \$ 525.00. This amount will be withdrawn from your bank account displayed below. The fund company has Automated Clearing House (ACH) processing rules which may affect this transaction's trade date. The fund company reserves the right to reject this transaction. If the shareholder does not receive a written confirmation of this transaction, please contact the fund company at (816) 843-6712.

Registration Information

SIDONIE-GABRIELLE COLETTE & HENRI DE JOVENAL ITWOS 3731 WYOMING ST APT 2N KANSAS CITY MO 64111-3835	Type: JOINT TENANT SSN: 264-11-7402 Citizenship: Resident Alien Bus. Phone: (816) 435-8105 E-mail: sgr@cham.com
--	---

Investment Selection

Fund Name (CUSIP)	Share Class	Account Number	Initial Investment Amount
CLIENT SERVICES SPECIALIZED PORTFOLIOS (CUSIP9700)	CLASS A SHARES	6000006894	\$.00
CLIENT SERVICES MONEY MARKET FUND (CUSIP3400)	CLASS A SHARES	6000006894	\$.00
NO-LOAD FUND (CUSIP900)	CLASS A SHARES	6000006894	\$ 30.00
CLIENT SERVICES LOAD FUND (31345101)	CLASS A SHARES	6000006894	\$ 250.00
CLIENT SERVICES LOAD TEST FUND (64004107)	CLASS A SHARES	6000006894	\$ 225.00
Payment Type: Electronically Debit Cardholder's Bank Account			Total: \$ 525.00

Bank Account Information for Initial Investment
Bank Name: PEOPLES BANK OF MISSOURI
Bank Address: PO BOX 419226
KANSAS CITY MO 64141-0000
Account Number: 123456789
ABA Routing #: 101000693

Display/Print Application

[Disclaimer] [Help] [E-Mail to Vision Support]

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Account Application Confirmation

Registration Information

This section contains the full registration (name, registration type and address) as well as the type of account, SSN, citizenship, business and home telephone numbers and e-mail address.

Investment Selection

Displays all the mutual funds selected where new accounts will be established as well as share class, initial investment amount, payment type, bank instructions and account numbers.

Display/Print Application

Click this button to display a printable Account Application including the account numbers as well as spaces for shareowner signature(s) in a separate frame.

Account Application Remittance (Payment by Check)

The Account Application Remittance form will appear if the account is established electronically and the initial purchase will be settled by check. The remittance form includes shareowner account information, investment selections, and the new account numbers. The form should be printed and remitted to the fund company along with the shareowner's check.

GLOBAL PRIME INVESTORS FUNDS
Account Application Remittance
Today's date: 04/21/99 11:30 AM EDT

Please print this page.

You have approved a request to establish new accounts listed below with a total initial investment of \$100.00. Please attach your check to a printed copy of this application remittance and forward it to the fund company. If the shareholder does not receive a written confirmation of this transaction, please contact the fund company at (816) 843-6712.

Registration Information	
MOURNE KOCOURK 3731 WYOMING ST. APT. 211 KANSAS CITY MO 64111-3533	Type: Individual Male SSN: 264-11-7472 Citizenship: Resident Alien

Investment Selection			
Fund Name (CUSIP)	Share Class	Account Number	Initial Investment Amount
CLIENT SERVICES SPECIALIZED PORTFOLIOS (CISIP700)	CLASS A SHARES	600003761	\$100.00
Payment Type: Check			Total: \$100.00

Display/Print Application

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Account Application Remittance

Registration Information

This section contains the full registration (name, registration type and address) as well as the type of account, SSN, citizenship, business and home telephone numbers and e-mail address.

Investment Selection

Displays all the mutual funds selected where new accounts will be established as well as share class, initial investment amount, payment type, bank instructions and account numbers.

Display/Print Application

Click this button to display a printable Account Application including the account numbers as well as spaces for shareowner signature(s) in a separate frame.

New Account Application/Adoption Agreement

This window allows the operator to print a copy of the completed application including the fund-specific text, registration information, investment selections, new account numbers, account options, and an area for the shareowner's signature and date.

For fiduciary accounts, the New Account Application includes beneficiary information and an adoption agreement.

09447367-12099
660727-26352460

VISION - New Account Setup -- JOINT TENANT - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
New Account Application
Today's Date: 09/25/99 12:35:31 PM CDT

Please print this page

By completing the following new account application, the investor agrees that the rights of the bank named below with respect to checks drawn on and debt entries related to the investors account are the same as if they were checks drawn on the bank and signed by the investor. The investor agrees that the bank shall be fully protected and without any liability whatsoever in honoring or refusing to honor any such check and in accepting or refusing to accept any such debt entry, whether with or without cause and whether intentionally or inadvertently.

Registration Information

SIDONIE-GABRIELLE COLETTE &
HENRI DE JOURNAL ET WORKS
3711 WYOMING ST APT 2N
KANSAS CITY MO 64111-3835

Type: JOINT TENANT
SSN: 264-11-7472
Citizenship: Resident Alien
Bus. Phone: (816) 435-3105
E-mail: rge@chen.com

Investment Selection

Fund Name (CUSIP)	Share Class	Account Number	Initial Investment Amount
CLIENT SERVICES SPECIALIZED PORTFOLIOS (CUSIP9700)	CLASS A SHARES	600006894	\$ 1.00
CLIENT SERVICES MONEY MARKET FUND (CUSIP3400)	CLASS A SHARES	600006894	\$ 1.00
NO-LOAD FUND (CUSIP9300)	CLASS A SHARES	600006894	\$ 50.00
CLIENT SERVICES LOAD FUND (31343101)	CLASS A SHARES	600006894	\$ 120.00
CLIENT SERVICES LOAD TEST FUND (34404101)	CLASS A SHARES	600006894	\$ 125.00

Payment Type: Electronically Debit Customer's Bank Account Total: \$ 221.00

Bank Account Information for Initial Investment
Bank Name: PEOPLES BANK OF MISSOURI
Bank Address: PO BOX 419226
KANSAS CITY MO 64141-0000
Account Number: 123456789
ABA Routing #: 101000693

Account Information

Distribution: CLIENT SERVICES SPECIALIZED PORTFOLIOS Reinvest dividends
Reinvest capital gains

CLIENT SERVICES LOAD FUND Reinvest dividends and capital gains to NO-LOAD FUND

Account: 3000
Registration Information
DEBBIE K LOFFZ
503 PACIFIC DR
BELTON MO 64012-2935

Automatic Investment: Starting Month: Sep
Frequency: Apr Sep

Fund Selected Today	Amount	Investment Day(s)
CLIENT SERVICES SPECIALIZED PORTFOLIOS	\$100.00	01
CLIENT SERVICES MONEY MARKET FUND	\$50.00	13
NO-LOAD FUND	\$25.00	01
CLIENT SERVICES LOAD FUND	\$75.00	13
CLIENT SERVICES LOAD TEST FUND	\$120.00	01

Bank Account Information for Automatic Investment
Bank Name: PEOPLES BANK OF MISSOURI
Bank Address: PO BOX 419226
KANSAS CITY MO 64141-0000
Account Number: 123456789
ABA Routing #: 101000693

New Account Application (Part I)

Vision - New Account Setup - JOINT TENANT - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Representative Information

Dealer Number: 11111
Branch Number: 111
Rep Number: 1234
Representative Name: GERTRUDE STEIN
Representative Phone Number:

You must complete this section in order to establish your account. Sign exactly as printed on registration. Print titles below if signing on behalf of a business or trust. For joint registration, all must sign.

- I am of legal age, have read the fund prospectus(es) and agree to its terms.
- If I have not declined the automated transaction privileges, I agree to indemnify and hold harmless GLOBAL PRIME INVESTORS FUNDS, and its subsidiaries, including GLOBAL PRIME INVESTORS FUNDS (the Funds), service agents, collectively "GLOBAL PRIME INVESTORS FUNDS", and any fund that may be involved in transactions authorized by telephone or Internet against any claim, loss, expenses or damage, including reasonable fees of investigation and counsel, in connection with any automated withdrawal effected on my account. Furthermore, GLOBAL PRIME INVESTORS FUNDS is authorized to act upon instructions received by Internet or telephone from any party that can provide my personal identification number in the case of transactions performed via the Internet or FundInfo, or in the case of automated transactions performed by other means, any two of the following: (1) my account registration, (2) address of record, and/or (3) Social Security number. Joint accounts will act on the instruction of any one tenant.
- I understand that the automated transaction privilege may be modified or terminated at any time. I also understand that all privileges and features selected in this application, including the automated transaction privilege if I have not declined it, are subject to the conditions and provisions set forth herein and in the current prospectuses of the funds.
- I understand that if I elect to declare one or more beneficiaries, the account is subject to the GLOBAL PRIME INVESTORS FUNDS Rules Governing Transfer on Death Registrations under the Missouri non-probate transfer laws.
- I understand that if GLOBAL PRIME INVESTORS FUNDS or any fund fails to follow the procedures outlined in the prospectus, I may be liable for any losses due to unauthorized or fraudulent instruction.

For corporations, trusts, or partnerships: We hereby certify that each of the persons listed below has been duly elected, is now legally holding the office set forth opposite his/her name, and has the authority to make this authorization.

If I am a U.S. citizen or resident alien as indicated above, I certify under penalties of perjury that (1) my Social Security or tax identification number provided in this application is correct (or I am waiting for a number to be issued to me) and (2) I am not subject to backup withholding because (a) I am exempt from backup withholding or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding or (c) the IRS has notified me that I am no longer subject to backup withholding. (Please cross out item (2) (b) above if it does not apply to you.)

If I am a non-resident alien as indicated above, I certify under penalty that I am not a U.S. citizen or resident alien (or I am filing for foreign corporation partnership, estate, or trust), and I am an exempt foreign person as defined under IRS regulations.

The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

Signature and Date

Signature _____ Date _____

Display/Print Brokerage Application

By pressing the Display/Print Brokerage Application button, the completed Brokerage Application will be displayed to print.

Disclaimer | Help | E-Mail to Vision Support |

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

New Account Application (Part II)

Registration Information

This section contains the full registration (name, registration type and address) as well as the type of account, SSN, citizenship, business and home telephone numbers and e-mail address.

Investment Selection

Displays all the mutual funds selected where new accounts will be established as well as share class, initial investment amount, payment type, bank instructions and account numbers.

Display/Print Brokerage or Suitability Application

If you completed a brokerage or suitability application during new account setup, you can display or print a copy of the form by clicking this button.

650627 42332450

NOTES

0947537 123099
650E2T 2E037460

Index

A

Account Application, 57
Account Application (printed application), 65
Account Application Confirmation, 63
Account Application Remittance, 64
Account Application Verification, 60
account options: canceling, 56;
changing, 56
Automatic Investment, 33
Automatic Withdrawal, 35

B

Branch Number, 15

C

Changing Your Password, 74

D

Dealer Number, 14
Dealer/Branch, 16
Dealer/Representative, 18
Distribution Options, 29

E

Establish Rights of Accumulation, 40

I

Interested Party, 49

L

Letter of Intent, 39
logging in, 9

N

New Account Establishment Options, 6
New Account Suitability Form (printed form), 68
new accounts: establishing, 13

R

Registration: individual, 19; joint tenants, 20; tenants in common, 20; tenants in entirety, 21; uniform gift/transfer to minors, 21
Remittance, 57
Representative Number, 17
Rights of Accumulation, 39

S

Suitability, 57

T

Technical Support, 74
Telephone Exchange, 55
Telephone Redemption, 53

V

Vision: advantages, 5; sign up, 73

W

Web address, 5

NOTES

660627 2232460

Vision Mutual Fund Gateway External Funds Technical Manuals

COLE

PRINT OF DRAWINGS
AS ORIGINALLY FILED

Vision

Vision Mutual Fund Gateway®
External Fund Technical Guide

Inquiry

November 22, 1999

DST
SYSTEMS

563227-4 03/4/00

This material is provided to you under a license agreement that restricts disclosure. The material herein contains proprietary confidential information and trade secrets of substantial economic value to DST Systems, Inc. Any disclosure or dissemination of this information to persons or concerns not authorized by DST Systems, Inc. is strictly prohibited.

© 1999, DST Systems, Inc. All rights reserved.

Vision and TA2000 are registered trademarks of DST Systems, Inc.

Vision Inquiry External Fund Manual
November 22, 1999

DST Systems, Inc.
333 West 11th Street
Kansas City, MO 64105-1594
www.dstsystems.com

Printed in

Contents

Chapter 1: About Vision Mutual Fund Gateway	7
Product Overview	7
Connectivity	8
Chapter 2: Security	11
Stateless Security	11
Untrusted End-User Applications	11
Operator ID Establishment and Security	11
Change Password	14
Data Encryption	15
Messages	15
Chapter 3: Account Linking/Access Filters–Operator ID	17
Chapter 4: Account Search and Summary Features	19
Dealer Account Search (BIN)	19
Fund Account Search	19
Shareowner Name Search	20
Tax ID Number Search	20
Representative/Advisor Summary	21
Representative/Advisor Number Account Search	22
Chapter 5: Major Function Descriptions	25
Chapter 6: Message Definitions	31
Key Descriptions	31

Error Processing.....	32
Vision Header	32
Account Fiduciary Information (Example on page 146).....	34
Account History (Example on page 149)	38
Account Information (Example on page 151).....	40
Account Maintenance History (Example on page 157).....	50
Account Search by Dealer Account Number (Example on page 159)	51
Account Search by Fund Account Number (Example on page 161).....	54
Account Search by Representative Number (Example on page 162).....	57
Account Search by Shareowner Name (Example on page 164).....	61
Account Search by Tax ID Number (Example on page 165).....	64
Account Year End Information (Example on page 167)	67
Alternative Addresses for Statements and Distributions (Example on page 174).....	81
Average Cost Information (Example on page 175).....	83
Bank Instruction Information (Example on page 178).....	86
Certificate Information (Example on page 179).....	89
Contingent Deferred Sales Charge (CDSC) Hypothetical Calculation (Example on page 181).....	92
Dealer Information (Example on page 183).....	94
Dividend Reinvestment Information (Example on page 186).....	98
Fund Distributions (Example on page 188).....	101
Fund Information (Example on page 190)	104
Fund List.....	107
Management Company Information	109
Order Information (Example on page 192)	113
Pending Transaction Information (Example on page 196).....	118
Representative Summary (Example on page 197)	120

Rights of Accumulation (Example on page 199)	123
Systematic Agreement Information (Example on page 201)	126
Systematic Exchange Information (Example on page 203)	129
Chapter 7: Non-Format Specific Content	135
Chapter 8: Accessing Vision through a Fund's Web Site	139
Chapter 9: Vision Options Implementation Worksheet	141
Management Level Options.....	141
Chapter 10: Field Descriptions and Definitions	143
Management Company Menu.....	143
Fiduciary Information.....	146
Shareholder Account History	149
Shareholder Account Information	151
Account Maintenance History	157
Account Search by Dealer Account.....	159
Account Search by Fund and Account	161
Account Search by Rep/Advisor	162
Account Search by Shareholder Name	164
Account Search by Tax ID/SSN	165
Year End Summary	167
Additional Mail	174
Average Cost	175
Bank Instructions	178
Certificates.....	179
CDSC Hypothetical Calculation.....	181
Dealer Information	183
Dividend Reinvestment	186

Distribution Information	188
Fund Information	190
Order Information	192
Pending Trades	196
Account Summary by Rep/Advisor	197
Rights of Accumulation	199
Systematic Agreements.....	201
Systematic Exchange	203

Index	207
-------	-----

2025 RELEASE UNDER E.O. 14176

Chapter 1:

About Vision Mutual Fund Gateway

Product Overview

DST Vision is an interactive Web site that allows financial intermediaries such as broker/dealers and financial advisors to view fund, shareowner account, and dealer information in a real-time environment. Information such as shareowner positions, account options, transaction histories, fund pricing and yields, and hypothetical CDSC redemption charge calculations are some of the features available through Vision. The current Vision Web site offers inquiry capabilities, e-mail, fund-controlled content such as marketing messages, hyperlinking, fulfillment connectivity, transaction processing and new account establishment.

Vision was originally an exclusive product for those mutual funds processed on the TA2000 mutual fund record-keeping system. However, DST has made Vision available to non-TA2000 mutual funds through a proprietary infrastructure that is positioned between the Vision Web site and the record-keeping systems of the mutual funds. This infrastructure allows a single point of entry for the operator while preserving the uniqueness, integrity, security, and independence of the various transfer agency systems used by the funds. . When an operator requests information through Vision, the request is routed to the appropriate record-keeping system through one of the enclosed standardized messages, and the appropriate information is returned to the operator. Any data feed or format is translated into the appropriate response for the waiting or requesting system.

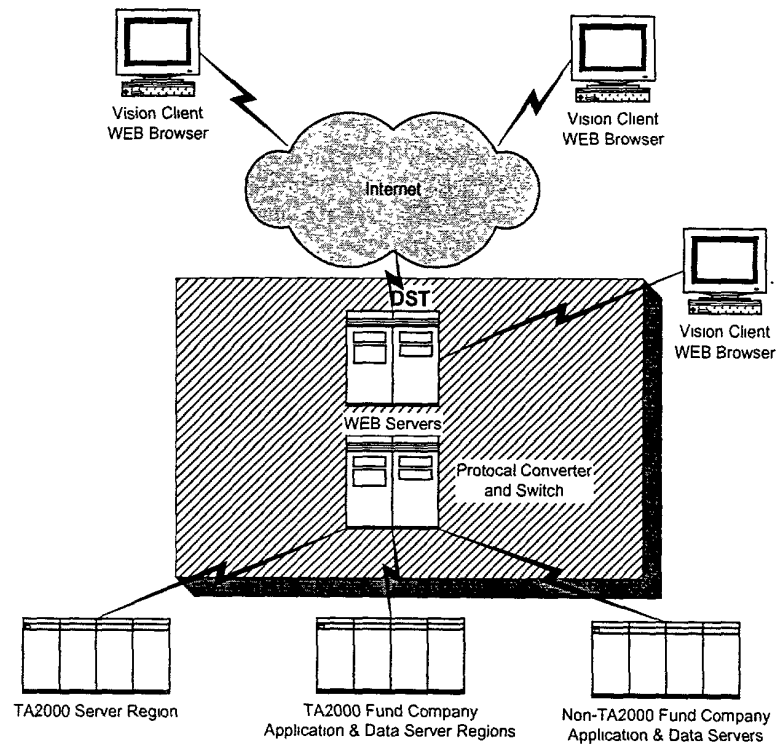
Vision provides a single source of customer account information through the Internet. By using DST's Vision architecture, the following benefits can be achieved:

- DST maintains all front-end Web site applications, software, hardware and support functions.
- The risks associated with attracting financial intermediaries to a fund specific product can be minimized, if not eliminated, by being a part of the consolidated offering available through Vision.
- If desired, Vision is accessible via the fund's corporate Web site through a seamless hyperlink. Therefore, only one interface to support multiple front ends is needed.
- The fund may pick and choose which functions to offer at the product and individual operator level.

- A demonstration site is available through the Internet to review Vision's information and capabilities. Contact a DST Vision representative to obtain the demonstration site address, ID, and password.

In order to provide this seamless integration, the DST architecture provides protocol translation and transaction mapping between the front-end client presentation code and the back-end TA application code and data.

DST Infrastructure



The Vision client is a standard Web browser that connects to DST Web servers via the Internet. Vision can also connect to Web servers through Intranet or Extranet. The DST Vision server dynamically builds the HTML pages that are displayed in the clients' browsers. It decodes the HTML pages received from the browsers into a DST Vision transaction and forwards the transaction to the DST protocol converter and switch. The DST switch determines which TA system owns the application and data for the request. It translates the request into a format and protocol that the TA system supports and forwards it to the TA system for processing. Once the TA system has satisfied the request, it sends a response back to the DST switch. The DST switch converts the response back into a DST Vision transaction response and sends it back to the DST Vision server. The server decodes the DST Vision transaction response and dynamically builds the HTML pages to be delivered and display in the client's browser.

The DST switch handles all data translation from ASCII to EBCDIC and back if required.

Supported Protocols

DST architecture can support either SNA APPC (LU6.2) over token ring or TCP/IP through a routed network between the DST switch and the TA host systems. With either protocol the DST switch acts as the master and the TA host as the slave in a standard client/server arrangement.

TCP/IP

The TCP/IP is supported with standard streams via a socket interface. The DST switch will open a socket for each concurrent request. Once a socket is open it will remain open until the server closes it or the switch application is shut down. When a transaction response is received and processed, the socket will be reused for the next request. The DST switch application can limit the concurrent number of sockets opened to the hosts and can be configured to queue additional requests. All TCP/IP data packets must contain a length field in the header of the application data stream.

SNA APPC (LU6.2)

The DST switch will initiate all requests and will allocate and de-allocate the conversation after each transaction. The DST switch supports parallel sessions with the number of sessions configured to match the host. The switch application can be configured to queue additional concurrent requests that exceed the number of sessions. The switch can support LU-LU security as well as conversational security. The maximum data packet that the switch can accommodate is 32K (32,767 bytes).

Data Formats

The DST switch can handle data in many different formats and sizes and can remove leading or trailing spaces or zeros. The switch can also truncate data on a field by field basis. DST does not support packed or binary data due to the ASCII to EBCDIC conversions. The data must be in character (displayable) format.

Chapter 2:

Security

Traditionally, the only access to the DST host system has been through applications developed in-house using a secured private network. These applications could be trusted to act in a reasonable manner and perform any required verification. The private network made infiltration almost impossible.

Vision is one of many applications that will allow access from outside this closed environment. Outside access places more responsibility on the Host to ensure data integrity and security.

Stateless Security

Traditional security models require sign-on and sign-off transactions. Follow-up security is then done by the connection. In this new environment many operators will be using the same connection and this connection security will be no longer be adequate. In the Vision model, the operator's ID and password is included in every transaction and must be verified each time.

Untrusted End-User Applications

In addition to the stateless security mentioned above, the host can no longer count on the end-user application to act reasonably. Trusted or DST-developed applications have been used to filter information and display only the data allowed for the operator. Now the host must filter the data and return only what the operator is authorized to access. The host cannot depend on the operator application to fill the transaction with appropriate data. The host must be able to respond appropriately with any combination of data (appropriate or not) and preserve the integrity of the underlying data structures.

Operator ID Establishment and Security

An operator requesting access to a mutual fund company not on the DST TA2000 system will access the same Vision Online Sign-up Form (available at <http://www.dstvisioninfo.com>) that is used to grant operators access to mutual fund companies on the DST TA2000 system. This form is completed on-line and generates a Vision Operator ID Setup Request e-mail that is automatically sent to the DST Vision department.

Note: The Operator ID may be up to 10 characters in length.

Upon receipt at DST, the Vision department forwards a Vision authorization request to the appropriate mutual fund company(s) for approval. This request

contains all pertinent information needed to verify the operator's request as well as the DST-assigned Vision Operator ID.

The mutual fund company will reply to the request. The mutual fund company may choose to provide its own internally assigned Operator ID; however, if none is provided, the DST assigned Operator ID will be used. If the mutual fund company chooses to provide its own internal Operator ID, the ID will be maintained on a cross-reference database on the DST system. This will enable the operator to gain access to the Vision Web site with only one Operator ID and password.

Operator ID/Password Validation

When an operator signs on to Vision, the Vision Web application sends the Operator ID and password to DST. Upon receipt at DST, the password is encrypted and compared against the encrypted password.

Upon password validation, a list of authorized TA2000 mutual fund companies is returned.

The Vision Cross-Reference Database is again utilized to determine what non-TA2000 mutual fund companies to add to the list of authorized mutual fund companies.

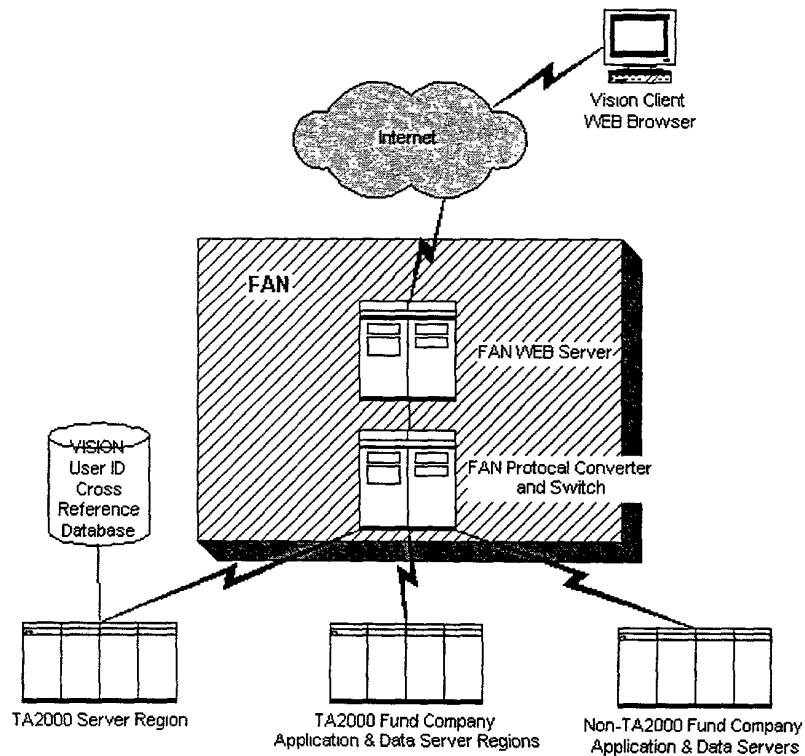
An alphabetically ordered mutual fund company list that includes both TA2000 mutual fund companies and non-TA2000 mutual fund companies is returned and displayed.

When an operator selects a non-TA2000 mutual fund company from the list, the request is sent from the Vision Web application to the DST switch. The DST switch will:

- Send a security check request to DST's CICS server region, validate the password, and, using the cross reference database, validate that the Operator ID is authorized for this non-TA2000 mutual fund company. The DST switch will then return the non-TA2000 Operator ID (which may or may not be identical to the DST assigned Vision Operator ID).
- Route the request, using the non-TA2000 Operator ID, to the non-TA2000 mutual fund company's system across a dedicated network line. The password field will always be blank.

Therefore, the Vision authorization and sign-on process would be as follows:

- DST receives a request from Representative Sarah Williams for Vision access to the ABC Mutual Fund Company (not on the DST TA2000 System). DST forwards Sarah's request to the ABC Mutual Fund Company, and references Sarah's DST assigned Vision Operator ID of: "VS00001693." The ABC Mutual Fund Company chooses to assign Sarah an Operator ID from its own internal database of: "ABC0000067."
- Sarah Williams will sign on to the Vision System with the DST assigned Vision Operator ID "VS00001693." This ID will provide Sarah Williams access to any authorized TA2000 Mutual Fund and/or non-TA2000 Mutual Fund Company. In addition, by means of the cross reference database, Sarah Williams will automatically have access to ABC Mutual Fund Company.



Vision Operator ID Cross Reference Database

660637 2632460

Name of Intermediary	Non-TA2000 Client Assigned Operator ID	DST Assigned Operator ID	Authorized Mutual Fund Companies Accessible Through Vision (non-TA2000 fund companies)
Sarah Williams	ABC0000067	VS00001693	Prime Investors Mutual Fund Company
Sarah Williams	XYZ3456789	VS00001693	Global Opportunities Mutual Fund Company
John Adams	VS00001695 (client chooses to use the DST assigned Operator ID)	VS00001695	New Horizon Mutual Fund Company

Change Password

Change Password window

Operator ID

Your ID may be up to 10 alphanumeric characters long. It is assigned to you by the Vision Group. Vision is secured by operator ID, which can be restricted at the dealer, dealer/branch, or dealer/representative level or by tax ID. The type of security associated with your Operator ID will affect the account information displayed on Vision windows.

Password

Your password must be a minimum of seven and a maximum of eight characters long. The password must contain at least one non-alpha, non-numeric character

from the following list: !@#%_&*()~/?_=/ The password will appear as a series of asterisks. After three incorrect attempts to enter your password, your operator ID will be disabled. To obtain an initial password for your operator ID, contact the Vision group at (816) 843-6712. To reset your password, contact the DST Help Desk at (800) 228-3574.

Change Password

The Change Password window allows you to change your Vision password.

Verify Password

You must successfully confirm a new password before it will be accepted. Type your new password exactly as you typed it in the Change Password field. If you do not verify your password correctly, the old password will remain in effect.

Data Encryption

The Vision Web site uses Secured Socket Layer (SSL) to encrypt all data moving across the Internet. Mutual fund clients have the option of securing their data at a 40-bit or 128-bit encryption level.

Messages

All communications between the Web Server and the host system will be via messages. These messages are state-less, meaning that there is no requirement that one transaction must be preceded by another. In some cases an index is returned to allow the operator to request the next records in sequence. In practice, certain messages will always be preceded by others, but there is no system requirement.

All messages will have a unique identifier name and a method to match replies with corresponding requests. Both of these values will be system dependent and not specified in the definitions outlined in Chapter 6.

Not all systems (management companies) will support the same features. The fund's implementation worksheet is used to provide system operators with the proper options.

Chapter 3:

Account Linking/Access Filters—Operator ID

DST assigns each user an Operator (Vision) sign-on ID. This ID has a unique association with each individual management company (fund group) that has been authorized for the operator. This association allows the fund group's name to be listed on the main entry window of the Vision Web site when the operator signs on. The operator then selects a fund group to research from the authorized list of funds.

DST supplies the Operator ID to the mutual fund so the fund can apply the appropriate security and password. The fund has several ways to link accounts or secure account access. Several different types of intermediaries use Vision, so Vision supports different layers of security, in order to both prevent and/or enable different levels of account access. Therefore, it is critical that all accounts linked to the operator be accessible with a single logon.

The following types of account linking are available through Vision:

Dealer Level Access

Dealer level access, most commonly used in a load fund environment, allows the operator to access any account with the assigned dealer number(s) regardless of the branch number, representative number, or tax ID on the account. This type of security allows the operator to access any account, regardless of the branch or representative, that falls under that dealer number. In the no-load environment, it is common for the accounts to have an advisor number instead of a dealer number. DST still refers to this as dealer level access. Some entry fields may be pre-filled or not displayed based on the level of security established for an Operator ID.

Dealer/Branch Level Access

Dealer/branch level access allows the operator to access any accounts with the same dealer and branch number(s). Operators can access any representative account information under that branch(es). However, they cannot access accounts within other branches. Some entry fields may be pre-filled or not displayed based on the level of security established for the Operator ID.

Dealer/Representative Level Access

Dealer/Representative level access allows the operator to access any account with a matching dealer and representative number(s). The branch number is not

included in this level of security. The security file for the Vision ID and the accounts accessed must have matching dealer numbers and representative numbers. This level of security is most commonly used by representatives or advisors to view their own customers' accounts. The representative number is normally unique for an individual representative, and often the representative is associated with multiple branches. The exclusion of the branch number in dealer/representative level security allows representatives to access their customers' accounts across multiple branches. Some entry fields may be pre-filled or not displayed based on the level of security established for the Operator ID.

Tax ID/SSN Level Access

An operator ID with tax ID security only allows access to accounts with that specific tax ID or Social Security Number(s). This type of security is most commonly used by trust companies so all of their accounts can be linked by a single tax ID. The Rep/Advisor Summary link and Account Search by Rep/Advisor link do not display as a menu item when Tax ID/SSN level security is established for an Operator ID.

Unrestricted Security

An Operator ID may have only a management company assigned, with no additional security. This allows the operator to view any account under that management company. This type of security is most commonly used by the fund to view all accounts in its fund family.

660627 2632460

Chapter 4:

Account Search and Summary Features

The following is a description of the various types of account searches that are offered through Vision. In addition to the basic search options, the operator has the ability to search within a specific fund or across the fund family. The Fund Account Search also allows the operator to retrieve "related accounts". The fund determines what criteria are used to relate or link accounts.

Dealer Account Search (BIN)

Entering the dealer account number only

If the Operator ID has dealer, dealer/branch, or dealer/representative security, the BIN number is all that is required to search for an account. However, if the Operator ID has tax ID security or no security, firm number and agent for firm will be required.

Searching within a specific fund or across all funds

- If searching within a fund is designated, the BIN number search will only search within the specified fund. The search results will be displayed in fund account order so the operator can click a specific account to get to the shareowner-master.
- If search across funds is selected, the BIN number search will search across all funds in that family of funds. The search results will be displayed in fund account order so the operator can click a specific account to get to the shareowner-master.

Fund Account Search

Choosing related accounts

- Account searches using fund and account number offer the option of retrieving "related" accounts. This allows a "household" of accounts to be retrieved. The fund has the option of defining what the "related" criteria will be. The related criteria search is based on the lead account number returned from the search. Some of the "related" account criteria DST offers are: tax ID number/SSN, rights of accumulation (ROA) number, or a combination of ROA number and TIN/SSN.

- If "related accounts" is NOT selected, only the shareowner-master for the fund account indicated within the designated fund will be displayed.
- If "related accounts" is selected, Vision will return search results based on all accounts that have the same related selection criteria across all funds in that family of funds. Related selection criteria in a fund account search will be based on the lead fund account number entered for the search. The search results will be displayed in fund account order so the operator can click a specific account to get to the shareowner-master.

Shareowner Name Search

Entering the last name, first name, and middle initial

Vision will allow the following search combinations:

- last name only
- last name and first name
- last name, first name, and middle initial.

A minimum of two characters is required for the last name. The last name and first name do not have to be complete; Vision will pass the host the portion of the name entered.

Designating a state

- The ability to designate a state to further narrow the search criteria is optional.

Searching within a specific fund or across all funds

- If "search within a fund" is designated, Vision will only search by shareowner search within the specified fund. The search results will be displayed in fund account order so the operator can click a specific account to get to the shareowner-master.
- If "search across funds" is selected, Vision will search by shareowner across all funds in that family of funds. The search results will be displayed in fund account order so the operator can click a specific account to get to the shareowner-master.

Tax ID Number Search

Searching within a specific fund or across all funds

- If "search within a fund" is designated, Vision will only search by tax ID number within the specified fund. The search results will be displayed in fund account order so the operator can click a specific account to get to the shareowner-master.
- If "search across funds" is selected, Vision will search by tax ID number across all funds in that family of funds. The search results will be displayed in

fund account order so the operator can click a specific account to get to the shareowner-master.

Representative/Advisor Summary

Entry fields displayed based on the level of operator security

- If there is dealer number security on an Operator ID, and there is only one dealer number on the security file, then only the representative number needs to be entered. If there are multiple dealer numbers on the dealer file, a list box will be provided, a dealer number must be designated, and a representative number must be entered.

Note: An Operator ID may have a single dealer number or multiple dealer numbers.

- If there is dealer/branch number security on an Operator ID, and there is only one dealer/branch number combination on the security file, then only the representative number will need to be entered. If there are multiple dealer/branch number combinations on the security file, a list box will be provided, a dealer/branch number must be designated and a representative number must be entered.

Note: An Operator ID may have a single dealer/branch number combination or multiple dealer/branch number combinations.

- If there is dealer/representative number security on an ID and there is only one dealer/representative combination in the security file, then no representative number will need to be entered. Vision will know by what representative number to search. If there are multiple dealer/representative number combinations on the security file, then a list box will be provided and a dealer/representative number will need to be designated. Vision will search based on that dealer/representative number.

Note: An Operator ID may have a single dealer/rep number combination or multiple dealer/rep number combinations.

- If there is tax ID number security on an Operator ID, then the Representative/Advisor Search link on the menu will not be displayed.
- If there is no security on an Operator ID, then the dealer number and representative number will need to be entered. Dealer number, dealer/branch number, or dealer rep number cannot be pre-filled since there is no security file.

Retrieving representative summary information

An account summary will be displayed in fund number order, which include the following:

- number of accounts within each fund
- number of shares within each fund

560627 463460

- balance within each fund
- percent of assets for each fund
- totals across all funds within that family of funds

Representative account summary will always be across funds, the operator will not be able to pull a summary with one specific fund.

Representative/Advisor Number Account Search

Searching criteria displayed based on the level of operator security

- If there is dealer number security on an Operator ID, and there is only one dealer number on the security file, then only the representative number needs to be entered. If there are multiple dealer numbers on the dealer file, a list box will be provided, a dealer number must be designated and a representative number must be entered.

Note: An Operator ID may have a single dealer number or multiple dealer numbers.

- If there is dealer/branch number security on an Operator ID, and there is only one dealer/branch number combination on the security file, then only the representative number will need to be entered. If there are multiple dealer/branch number combinations on the security file, a list box will be provided, a dealer/branch number must be designated and a representative number must be entered.

Note: An Operator ID may have a single dealer/branch number combination or multiple dealer/branch number combinations.

- If there is dealer/representative number security on an ID and there is only one dealer/representative combination in the security file, then no representative number will need to be entered. If there are multiple dealer/representative number combinations on the security file, a list box will be provided and a dealer/representative number must be designated. Vision will search based on that dealer/representative number.

Note: An Operator ID may have a single dealer/rep number combination or multiple dealer/rep number combinations.

- If there is tax ID number security on an Operator ID, then the Representative/Advisor Search link on the menu will not be displayed.
- If there is no security on an Operator ID, then the dealer number and representative number will need to be entered. Dealer number, dealer/branch number, and dealer rep number cannot be pre-filled since there is no security file.

Sorting account list

A detail account listing in the Rep/Advisor Search will be displayed in one of four sort sequences designated by the operator:

- Tax ID number and zip code
- ROA number and zip code
- Fund and account number
- Alphabetical by alpha code

The default will be tax ID number and zip code. The sort sequences are optional. The external fund client may choose to use some or all of the available sort sequences. The operator may click a specific account to get to the shareowner-master.

Searching within a specific fund or across all funds

- If search within a fund is designated, the representative number search will only search within the specified fund. A detail listing will be displayed in one of the four sort sequences designated by the operator. The operator can click a specific account to get to the shareowner-master.
- If search across funds is selected, the representative number search will search across all funds in that family of funds. The detail listing will be displayed in one of the four sort sequences designated by the operator. The operator can click a specific account to get to the shareowner-master.

Chapter 5:

Major Function Descriptions

Account Maintenance History

This function allows the operator to view non-financial changes made to an account. Maintenance history includes changes such as street address and representative number, and both the previous and current values are displayed.

Alternative Addresses for Duplicate Statements and Distributions

This function allows the operator to view the alternative address, if available, to which the fund sends duplicate statements and/or distribution checks.

Average Cost Information

Displays offer average cost and cost basis information for funds that offer this information.

Automatic Dividend Reinvest to Another Account

When a shareowner chooses to systematically reinvest the distributions from one fund/account in a different fund/account, there are related instructions under the account options. This facility enables the operator to view all details associated with this process.

Broker/Dealer Information

Vision provides a consolidated view of account information at the dealer or dealer branch level. Information such as total assets per fund, total number of accounts for the management company, total open and closed orders, total accounts per NSCC Networking matrix level will be displayed. When this facility is secured at the dealer level, it provides the broker/dealer with information on any branch under the dealer simply by entering the appropriate dealer/branch number.

Certificate Information

If physical shares are issued to the shareowner, or once issued shares are returned to the fund, this function is used to display and confirm the status of each certificate.

Change Password

The client password function allows Vision operators to change passwords at their discretion, and to reset passwords upon expiration.

Contingent Deferred Sales Charge Hypothetical Information

When a CDSC fund is viewed through Vision, the operator has the option of calculating hypothetical redemptions, either full or partial, through this function. The calculations are based on the most recent Net Asset Value (NAV).

Dealer Account Number Search (BIN)

This function allows the operator to retrieve accounts by entering the broker/dealers account number, commonly known as the broker identification number (BIN). The operator may retrieve accounts within a particular fund or across funds within a fund family.

Fiduciary/Beneficiary/Contribution Information

This facility allows the operator to view all supporting fiduciary and contribution information on a qualified account. Information such as designated beneficiaries, year-to-date contributions, inception-to-date contributions, and taxable withdrawals, is supported through this function.

Fund Account Number Search

This function allows the operator to retrieve an account based on the fund's internal account number. The operator may also select "related accounts" to retrieve other accounts linked by a common criterion determined by the fund.

Fund Distribution Information

This function provides specific information about the distributions (dividends and capital gains) of the fund selected by the operator. Information such as record date, payable date, reinvestment date and the all corresponding share prices and rates is provided.

Fund List

This function is used to return the appropriate information for each individual mutual fund in the management company. It includes information such as the most recent NAV, the NAV date, CUSIP, fund code, fund name, NASDAQ symbol and whether the fund has associated (CDSC) deferred sales charges.

General Fund Information

This function provides all pertinent information about each mutual fund. In addition to pricing, yield, total return information, breakpoint schedules and sales charge-dealer concessions are also available.

Management Company Information

Once the operator has selected a management company from the management company list, all information displayed is specific to that management company

(until the operator returns to the management company list). This function allows the management company to provide and display information such as:

- Management company name
- Marketing phone number (optional)
- Support or back office phone number (optional)
- E-mail address—for all correspondence initiated through Vision (optional)
- Security level for the specific operator ID—dealer, branch, representative, tax ID, or all.

Management Company Listing

This function allows DST to identify what management company(s) to display based on the authorized management companies linked to the operator ID. In addition, this function allows DST to identify the appropriate record-keeping system to direct transaction requests.

Name Search

This function allows the operator to retrieve a shareowner account based on the name of the shareowner. This function also allows retrieval within a specific fund, across the management company, or within a specific state of residence.

Order Information

This facility allows the operator to view trade status and corresponding information, before and after settlement. In addition, the operator can enter the NSCC control number or the fund's order number to retrieve the trade. Information such as trade date, trade amount, number of shares, NAV, and confirm date will be displayed.

Pending Trades

When an account has transactions that have not settled, basic information such as trade date, shares, net and gross dollars may still be viewed through this facility.

Pre-Authorized, Automated Purchases and Redemptions

The Vision operator may view all details associated with the automated purchase and withdrawal of shares, usually on a monthly basis, through the ACH network. The dates and amounts of the transactions, as well as the bank information, is available through this facility.

Representative/Advisor Number Account Search

This function allows the operator to retrieve a list of accounts based on the representative number. The operator may retrieve accounts within a particular fund or across funds within a fund family. The operator may also select from four options that determine the sort order of the account list if multiple accounts are returned.

Representative/Advisor Number Account Summary

The summary function allows the operator to view a summary of representative level assets in each fund within the management company. The summary provides information regarding the number of accounts, number of shares, and dollar values for the representative/advisor. The accounts used in the summary are based on a representative number designated on each account.

Rights of Accumulation

In the load fund environment, a shareowner may sign a letter of intent to invest a certain dollar amount over a specified period of time in order to obtain a reduced sales charge on the initial investments. In addition, several accounts may be linked for purposes of qualifying for rights of accumulation. The rights of accumulation number, related accounts, and ROA amounts are displayed through this function.

Shareowner Account History

This function allows the operator to view the transaction history of each account. Information such as transaction type, transaction date, amount of transaction, and total shares is provided.

Shareowner Account Information

The Vision operator, by selecting one of several account search options, will ultimately arrive at a main account information window (shareowner master). All information about a shareowner account is either displayed here or is accessible from this window. Complete account registration, account balance, number of shares, net asset value (NAV), all account options such as bank information, average cost, and systematic exchanges, are available through this facility.

Transaction histories and contingent deferred sales charge (CDSC) information is only available through this window.

Shareowner Bank Information

In several functions within Vision, bank account information is viewable by the operator. This function, which is essentially a subset of other functions, maintains the detail necessary to provide the bank information on all of the windows where that information is required.

Systematic Exchange

When a shareowner has established automated instructions for moving money between accounts, this function allows the operator to view those instructions. Such things as amounts, transaction schedules, fiduciary information, CDSC information, and both the to and from account detail are provided through this function.

650627 2232460

Tax ID/Social Security Number Search

This function allows the operator to retrieve accounts by entering the tax ID or social security number of the desired account(s). The operator may retrieve accounts within a particular fund or across funds within a fund family.

Year End and Tax Reporting Information

This facility allows the operator to view information pertaining to fiduciary and non-fiduciary tax reporting. Information such as the status of the various IRS forms that have been distributed, distribution information, IRS withholding information, and foreign withholding are all included in this function. In addition, this facility offers both current and previous tax year information.

060327 120327450

Chapter 6:

Message Definitions

The following chapter defines each function and feature available in Vision. Data field descriptions, requirements, and options are outlined in this chapter.

Key Descriptions

The following table defines key fields and terms outlined in this chapter.

Field Name/Term	Description
Transaction Fixed Request Data	Fixed length request data.
Transaction Fixed Response Data	Fixed length response data.
Transaction Variable Repeatable Response Data	Variable length response data, repeatable based on occurrences.
Field Name	Indicates the name of the field.
Field Type	<p>Indicates whether the field is alpha, numeric, or character format. All data is in EBCDIC or ASCII.</p> <p><u>ALPHA</u> -Values are A - Z, a - z. Values are left justified and the padding is spaces.</p> <p><u>EBCDIC NUM</u> - Values are 0-9 in Zone Decimal Format and padded with zeros. All decimal points are implied. These values are right justified.</p> <p>Example: The positive account balance (13.2) value of \$1,289.23 is sent in hexadecimal as 'F0F0F0F0F0F0F0F0F1F2F8F9F2F3' or 'F0F0F0F0F0F0F0F0F1F2F8F9F2C3'. If the value is negative, it is sent as 'F0F0F0F0F0F0F0F0F0FFF8F9F2D3'.</p> <p><u>CHAR</u> -Values are A - Z, a - z, 0 - 9, special characters. Values are left justified and the padding is spaces.</p>
M	Indicates the field is mandatory. Mandatory is defined as required valid data. (Blank indicates mandatory or option has not been determined yet.).

Field Name/Term	Description
O	Indicates the field is optional. Optional is defined as data that is not required. (Blank indicates mandatory or option has not been determined yet.) If the optional field will be supported, valid data must be entered. If the optional field will not be supported, <i>low values</i> or <i>spaces</i> will be used to indicate <i>not available</i> .
Values	Indicates the available field values.
Low Values	Hexadecimal '00' to be sent for numeric values only.
Spaces	Spaces to be sent for character text values only.
Description	Provides a brief description of the field.

Error Processing

Included at the end of each message definition is a table of error codes and corresponding error messages. By using these standard error codes, messages will be consistent for the Vision product between all fund companies. These error codes are standard and therefore generic. It is recommended that fund companies keep a log of the errors that occur on their systems, including specific error details to be used for problem research. When an error occurs on a fund companies system, the following processing should occur:

- The Return Code field in the header should be set to 0010.
- The Error Code field in the header should be set to the appropriate error code as detailed at the end of each message definition.

Vision Header

Required

The Vision header record is sent at the beginning of the Request data stream and will be returned at the beginning of the Response data stream. For example, with Account History, the Vision Header + Account History Request will be sent to the fund company. On the return from the fund company, the Vision Header + Account History Response will be returned. When the fund company returns the header information the following fields need to be updated:

- Packet Length
- Data Length
- Return Code
- Error Code (only if error occurs)
- Error Data (optional)

November 22, 1999

Columns	Field Name	Field Type	M/O	Values	Description
90-97	Error Code	Char 8	O		Error Code from the target system. This could be used as a reference if the Vision operator should call the fund.
98-337	Filler	Char 240		Send spaces.	For future use.

Account Fiduciary Information

(Example on page 146)

Required

This facility allows the operator to view all supporting fiduciary and contribution information on a qualified account. Information such as designated beneficiaries, year-to-date contributions, inception-to-date contributions, and taxable withdrawals, is supported through this function.

Transaction ID: FIDUINFO@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-10	Birth Date	Char 10	O	MM/DD/YYYY	Birth date of the shareowner.
11	Marital Status	Alpha 1	O	M=Married S=Single	Marital Status of shareowner.

35

Columns	Field Name	Field Type	M/O	Values	Description
76-92	ITD Contribution Employer	Num 17	M	15.2	Inception-to-date contributions by the employer.
93-109	ITD Contribution Employee	Num 17	M	15.2	Inception-to-date contributions by the employee.
110-124	YTD Dividends	Num 15	M	13.2	Year-to-date dividends earned for the account.
125-139	YTD Cap Gains	Num 15	M	13.2	Year-to-date capital gains earned for the account.
140-156	ITD Dividends	Num 17	M	15.2	Inception-to-date dividends earned for the account.
157-173	ITD Cap Gains	Num 17	M	15.2	Inception-to-date capital gains earned for the account.
174-188	YTD Non-Tax Withdrawals	Num 15	M	13.2	Year-to-date non-taxable withdrawals from the account.
189-203	YTD Taxable Withdrawals	Num 15	M	13.2	Year-to-date taxable withdrawals from the account.
204-218	YTD Withholdings	Num 15	M	13.2	Year-to-date withholdings on the account.
219-235	ITD Non-Tax Withdrawals	Num 17	M	15.2	Inception-to-date non-taxable withdrawals from the account.
236-252	ITD Taxable Withdrawals	Num 17	M	15.2	Inception-to-date taxable withdrawals from the account.
253-269	ITD Withholdings	Num 17	M	15.2	Inception-to-date withholdings on the account.
270-304	Primary Name 1	Char 35	M		First line of the primary beneficiary.
305-339	Primary Name 2	Char 35	M		Address of the primary beneficiary.
340-374	Primary Name 3	Char 35	M		City, state, and zip code of the primary beneficiary.
375-389	Primary Relationship	Char 15	M		Relationship of the primary beneficiary to the shareowner.
390-399	Primary Birth Date	Char 10	O	MM/DD/YYYY	Primary beneficiary birth date.
400-409	Primary Designation Date	Char 10	O	MM/DD/YYYY	Date the primary beneficiary was designated.

Columns	Field Name	Field Type	M/O	Values	Description
410-418	Primary Tax ID Number	Num 9	M		Tax ID number for the primary beneficiary.
419-453	Secondary Name 1	Char 35	O		First line of the secondary beneficiary.
454-488	Secondary Name 2	Char 35	O		Second line of the secondary beneficiary.
489-523	Secondary Name 3	Char 35	O		Third line of the secondary beneficiary.
524-538	Secondary Relationship	Char 15	O		Relationship of the secondary beneficiary to the shareowner.
539-548	Secondary Birth date	Char 10	O	MM/DD/YYYY	Secondary beneficiary birth date.
549-558	Secondary Designation Date	Char 10	O	MM/DD/YYYY	Date the secondary beneficiary was designated.
559-567	Secondary Tax ID Number	Num 9	O		Tax ID number for the secondary beneficiary.
568-617	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
ACTF0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
ACTF0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
ACTF0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.

Error Code	Error Message	Description
ACTF0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Account History

(Example on page 149)

Required

This function allows the operator to view the transaction history of each account. Information such as transaction type, transaction date, amount of transaction, and total shares is provided.

Transaction ID: ACCTHIST@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.
34-58	Index	Char 25	M		Index to request additional accounts when list is longer than a single request.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-25	Index	Char 25	M		If non-spaces, contains index to request next group of accounts.
26-75	Filler	Char 50		Send spaces.	For future use.

Columns	Field Name	Field Type	M/O	Values	Description
76-78	Occurrences	Num 3	M	000-178	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-7	Key Suffix	Num 7	O		Transaction sequence number in the history.
8-13	Transaction Identifier	Char 6	O		Indicates the type of transaction. Formatted as xxx/xxx (the '/' is hard coded after the third character).
14-28	Shares	Num 15	M	11.4	Number of shares involved in the transaction.
29-43	Gross Amount	Num 15	M	13.2	Dollar amount of the transaction.
44-58	Running Balance	Num 15	M	11.4	Cumulative share balance of account.
59-68	Confirmation Date	Char 10	M	MM/DD/YYYY	Date transaction was processed.
69-78	Trade Date	Char 10	M	MM/DD/YYYY	Date transaction was priced.
79-87	Price	Num 9	M	5.4	Price used for the transaction.
88-94	Batch Number	Num 7	O		Transaction processing group number.
95	Pre/Post Noon	Alpha 1	O	B=Before Noon A=After Noon	Determines if the transaction occurred before noon or after noon.
96-97	Discount Category	Char 2	O		Code indicating the price break a shareholder will receive on new shares purchased.
98	Certificate Issue Code	Alpha 1	O	Y/N	Indicates certificate was issued on a purchase transaction.
99-128	Transaction Description	Char 30	M		The alpha description of the transaction.

650627 2632460

Columns	Field Name	Field Type	M/O	Values	Description
129	Balance Indicator	Alpha 1	O	A=Add to bal S=Sub from bal N=No change	Indicates how this trade affected the share balance.
130-179	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
ACTH0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
ACTH0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
ACTH0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
ACTH0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Account Information

(Example on page 151)

Required

By selecting one of several account search options, the Vision operator will arrive at a main account information window. All information about a shareowner account is either displayed here or is accessible through this window.

Transaction ID: ACCTINFO@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-9	Tax ID Number	Num 9	M		Displays the shareholders tax identification number. This number is either a Social Security Number or an Employer Identification Number.
10	Tax ID Code	Num 1	M	0-9	The tax ID code is used to determine the format of the Tax ID number and the certification status of the account. Does not display. 0=SSN or TIN Missing 1=SSN Non-Certified 2=SSN Certified 3=EIN Non-Certified 4=EIN Certified 5=TIN Applied for 6=SSN IRS Offender 7=EIN IRS Offender 8=SSN Acct Type Exempt 9=EIN Acct Type Exempt
11-20	Dealer Number	Char 10	M		Dealer number of record on the account. This field is mandatory if the Operator ID has dealer, dealer/branch or representative security; otherwise, send spaces.

Columns	Field Name	Field Type	M/O	Values	Description
21-30	Branch Number	Char 10	M		The branch designation for the operator. Optional for IDs with dealer security, tax ID security or no security, unless branch number is entered by operator.
31	Fiduciary Account	Alpha 1	M	Y/N	Indicates whether an account is fiduciary. Displays under Account Options as Fiduciary Account hyperlink and is required to send Account Fiduciary Information (FIDUINFO).
32	Timer Flag	Alpha 1	O	Y/N	Indicates whether an account is set to exchange to another fund at a specific interval. Displays under Account Options as Market Timer.
33	Audio Response Flag	Alpha 1	M	Y/N	Indicates whether an account has the Voice privilege. Displays under Account Options as Audio Response.
34	ACH Flag	Alpha 1	M	Y/N	Indicates whether an account has the ACH privilege. Displays under Account Options as "ACH Privileges." Refer to the "Bank Instructions" hyperlink to view banking information (BANKINST).
35	NAV Code	Alpha 1	O	Y/N	Indicates whether the account receives the NAV price when purchasing shares. Displays under Account Options as NAV Pricing.
36-45	NAV As-Of-Date	Char 10	O	MM/DD/YYYY	Indicates the price date used in the NAV field.
46	Escheatment Flag	Alpha 1	O	Y/N	Indicates the account was reported in an escheatment cycle. Displays under Account Options as Escheatment.
47	Reinvest to Fund	Alpha 1	M	Y/N	Indicates if the account's earned distributions will be reinvested in another fund. Displays under Account Options as Dividend Reinvestment hyperlink and is

Columns	Field Name	Field Type	M/O	Values	Description
					required to send Dividend Reinvestment Information (DIVMOVE).
48	Dealer Control Level Code	Num 1	M	0=Non-Netwkd 1=Bkr Margin IRA 2=Cust Name Bkr 3=Brokerage Bkr 4=Brokerage Fund	Indicates the level of dealer control. NSCC matrix level.
49	Filler	Char 1		Send spaces.	For future use.
50-58	Rights of Accumulation Number	Num 9	O		Accounts where commissions have been paid on less than 100% of the total valuation of the group. Displays under Account Options as Rights of Accumulation (ROA) hyperlink and is required to send Rights of Accumulation (ROA INFO).
59-67	LOI Number (Letter Of Intent)	Num 9	O		Links accounts that signed a contractual agreement to purchase a certain amount within 13 months to receive a price break.
68	Plan Status Code	Alpha 1	O	O=Open C=Closed	Indicates if the account is open or closed.
69	Expedited Exchange	Alpha 1	O	Y/N	Indicates if the shareowner is allowed to perform telephone exchanges to another fund. Displays under Account Options as "Telephone Exchange".
70	Penalty Withholding	Alpha 1	O	Y/N	Indicates if the account has withholding taken. Displays under Account Options as "Penalty Withholding".
71	Cap Gains	Alpha 1	M	R/C	Indicates if the capital gains are

660627 2632460

Columns	Field Name	Field Type	M/O	Values	Description
					reinvested or paid in cash..
72	Dividend 1	Alpha 1	M	R/C	Indicates if the dividends are reinvested or mailed by check.
73	Checkwriting Account	Alpha 1	M	Y/N	Indicates if the account has check-writing privileges. Displays under Account Options as "Checkwriting".
74	Expedited Account	Alpha 1	O	Y/N	Indicates if the shareowner is allowed to telephone wire order instructions to a pre-established bank account. Displays under Account Options as "Bank Instructions" hyperlink and is required to send bank instruction information (BANKINST).
75	Issue Code	Alpha 1	O	Y/N	Indicates if the account systematically issues a certificate after every transaction. Currently not displayed.
76	Stop Transfer Code	Alpha 1	O	Y/N	Indicates if it is prohibited to transfer, exchange or redeem the account. Displays under Account Options as "Stop Transfer".
77	Dividend Mail	Alpha 1	M	Y/N	Indicates if the account mails the dividend check to an address other than the AOR. Displays under Account Options as "Additional Mail" hyperlink and is required to send alternative addresses for statements and distributions (ADDLMAIL).
78	Stop mail	Alpha 1	O	Y/N	Indicates the account is suppressing year end tax forms. Displays under Account Options as "Stop Mail".
79-88	Date Established	Char 10	M	MM/DD/YYYY	Date the account was initially opened.
89-103	Total Issued Shares	Num 15	M	11.4	Amount of shares in certificate form.
104-118	Total Unissued Shares	Num 15	M	11.4	Amount of shares available for redemption.

[illegible]

Message Definitions

45

Columns	Field Name	Field Type	M/O	Values	Description
					Currently not displayed.
505	Debit Card	Alpha 1	O	Y/N	Indicates if the account has debit card privileges. Displays under Account Options as "Debit Card".
506-514	NAV	Num 9	M	5.4	Indicates the price per share of a mutual fund for the most recent close.
515	Correspondence Pending Code	Alpha 1	O	Y/N	Indicates if the account has correspondence pending. Displays under Account Options as "Correspondence Pending".
516	Stop Purchase	Alpha 1	O	Y/N	Indicates if the account is prohibited for subsequent purchases. Displays under Account Options as "Stop Purchase".
517	Check Redemption by Phone Code	Alpha 1	M	Y/N	Indicates if the shareowner is allowed perform telephone redemptions. Displays under Account Options as "Telephone Check Redemptions".
518	House Account Code	Alpha 1	O	Y/N	Indicates if the account is a dealer house account. Displays under Account Options as "House Account".
519-538	Firm Account Number	Char 20	O		External Dealer Account Number (BIN). Displays under Account Options as "Dealer Account".
539	Additional Mail	Alpha 1	M	Y/N	Indicates if the account has statements being mailed to additional addresses. Displays under Account Options as "Additional Mail" hyperlink and is required to send alternative address for statements and distributions (ADDLMAIL).
540	Filler	Char 1		Send spaces.	For future use.
541	Outstanding Check Code	Alpha 1	O	Y/N	Indicates if the account has outstanding checks.

Columns	Field Name	Field Type	M/O	Values	Description
542	Sysexch Account Code	Alpha 1	M	Y/N	Indicates if the account is set up to systematically exchange to other fund(s). Displays under Account Options as "Systematic Exchange Plan" hyperlink and is required to send systematic exchange information (SYSEXCH).
543	Shareowner Language Code	Alpha 1	O	E=English F=French G=German J=Japanese P=Portugese S=Spanish	Indicates what language the shareowner speaks. Displays under Account Options as "Language".
544	Pay Dividend to Broker Code	Alpha 1	O	Y/N	Indicates dividend checks are mailed to the dealer. Displays under Account Options as "Cash Dividend to Broker".
545	State Withholding Taken Code	Alpha 1	O	Y/N	Indicates if the account has state withholding taken.
546-560	Filler	Char 15	O	Send spaces.	For future use.
561	Pending Trade Code	Alpha 1	M	Y/N	Indicates if the account has a pending trade. Displays under Account Options as "Pending Trade" hyperlink and is required to send pending transaction information (PENDTRAD).
562	Filler	Char 1	M	Send spaces.	For future use.
563	AvgCost Account Code	Alpha 1	M	Y/N	Indicates if the account participates in Average Cost. Displays under Account Options as "Average Cost" hyperlink and is required to send average cost information (AVGCOST).

Columns	Field Name	Field Type	M/O	Values	Description
564	Agreement Type Redemption Code	Alpha 1	M	Y/N	Indicates if the account has a systematic redemption agreement. Displays under Account Options as "Systematic Agreement" hyperlink and is required to send systematic agreement information (SYSAGREE).
565	Agreement Type Purchase Code	Alpha 1	M	Y/N	Indicates if the account has a systematic purchase agreement. Displays under Account Options as "Systematic Agreement" hyperlink, and is required to send systematic agreement information (SYSAGREE).
566	Allow ACH Purchase Code	Alpha 1	M	Y/N	Indicates if the account allows ACH purchases and determines whether or not the "Purchase" hyperlink appears under Account Transactions.
567	Allow ACH Redemption Code	Alpha 1	M	Y/N	Indicates if the account allows ACH redemption and determines whether or not the "Redeem" hyperlink appears under Account Transactions.
568	Allow Check Redemption	Alpha 1	M	Y/N	Indicates if the account allows check redemption and determines whether or not the "Redeem" hyperlink appears under Account Transactions.
569	Allow Exchange from Code	Alpha 1	M	Y/N	Indicates if exchanges are allowed from the account and determines whether or not the "Exchange" hyperlink appears under Account Transactions.
570	Allow Exchange into Existing Code	Alpha 1	M	Y/N	Indicates if exchanges are allowed into existing accounts.
571	Allow Exchange into New Code	Alpha 1	M	Y/N	Indicates if exchanges are allowed into new accounts.
572	Redemption Fee Code	Alpha 1	M	Y/N	Indicates if a redemption fee is to be withheld.
573-588	Filler	Char 16		Send spaces.	For future use.

094537 22952460

Columns	Field Name	Field Type	M/O	Values	Description
589-604	Filler	Char 16		Send spaces.	For future use.
605	Business Day Code	Alpha 1	M	Y = Business Day N = Non Business Day	Indicates whether or not the current day is a business day. Used in determining the trade date for transaction processing. Does not display.
606	Allow Hypocalc Code	Alpha 1	M	Y = Yes N = No	Indicates whether or not the hypocalc link will be displayed (HYPOCALC).
607-656	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
ACTI0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
ACTI0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
ACTI0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
ACTI0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Account Maintenance History

(Example on page 157)

Optional

This function allows the operator to view non-financial changes made to an account. Changes are provided, with both the previous and current information displayed.

Transaction ID: MAINTHST@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-50	Filler	Char 50		Send spaces.	For future use.
51-53	Occurrences	Num 3	M	000-200	Number of times the following variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-10	Last Maint Date	Char 10	M	MM/DD YYYY	Date of last maintenance.
11-22	Batch Number	Char 12	O		Transaction processing group number.
23-52	Maintenance Field Name	Char 30	M		Field name that has been updated.
53-87	Previous Field Value	Char 35	M		Data that resided in the field before the update.

Columns	Field Name	Field Type	M/O	Values	Description
88-122	Current Field Value	Char 35	O		Data that currently resides in the field.
123-172	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
ACTM0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
ACTM0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
ACTM0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
ACTM0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Account Search by Dealer Account Number

(Example on page159)

Required

This function allows the operator to retrieve accounts by entering the broker/dealer account number (BIN). This search will retrieve all accounts across the management company, or within a selected fund.

Transaction ID: DLRSRCH@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Dealer Account Number (BIN)	Char 20	M		NSCC Broker Identification Number or External Dealer Account Number.
34-37	Firm Number	Num 4	O		NSCC participant ID (optional depending on security and management level options).
38-41	Agent for Firm	Char 4	O		Executing dealer (optional depending on security and management level options).
42	Search Across Funds	Alpha 1	M	A=All S=Selected	Code that indicates whether to search only the selected fund or all funds within a fund group.
43	Filler	Char 1		Send spaces.	For future use.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1	Maximum Number of Records Exceeded	Char 1	M	Y/N	Flag that indicates whether there are more records that have not been retrieved.
2-41	Index	Char 40	M		If non-spaces, contains index to request next group of accounts.
42-44	Occurrences	Num 3	M	000-180	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-28	Internal Fund	Num 15	M		Fund Code.

Columns	Field Name	Field Type	M/O	Values	Description
	Code				
29-38	Filler	Char 10	O	Send spaces.	For future use.
39-58	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.
59-67	Tax ID Number	Num 9	M		Displays the shareholder's tax identification number. This number is either a Social Security Number or an Employer Identification Number.
68	Tax ID Code	Num 1	M	0-9	0=SSN or TIN Missing 1=SSN Non-Certified 2=SSN Certified 3=EIN Non-Certified 4=EIN Certified 5=TIN Applied for 6=SSN IRS Offender 7=EIN IRS Offender 8=SSN Acct Type Exempt 9=EIN Acct Type Exempt
69-103	Registration Name1	Char 35	M		First line of shareowner registration.
104-138	Registration Name2	Char 35	M		Second line of shareowner registration.
139-155	Shares	Num 17	M	13.4	Share balance of the account.
156-172	Balance	Num 17	M	15.2	Total dollars in the account.
173-222	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
DLRS0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
DLRS0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
DLRS0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
DLRS0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Account Search by Fund Account Number

(Example on page 161)

Required

This function allows an account to be retrieved based on the fund's account number. The operator may also select "related accounts" as an option to retrieve other accounts linked by a common criterion.

Transaction ID: ACCTSRCH@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		Unique identifier for a shareowner account within a mutual fund.
34	Retrieve Related Accounts	Alpha 1	M	Y/N	Indicates whether to search for related accounts.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1	Maximum Number of Records Exceeded	Char 1	M	Y/N	Indicates whether there are more records that have not been retrieved.
2-51	Filler	Char 50		Send spaces.	For future use.
52-54	Occurrences	Num 3	M	000-161	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-28	Internal Fund Code	Num 15	M		Fund Code.
29-38	Filler	Char 10	O	Send spaces.	For future use.
39-58	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

650227 4632460

Columns	Field Name	Field Type	M/O	Values	Description
59-67	Tax ID Number	Num 9	M		Displays the shareowner's tax identification number. This number is either a Social Security Number or an Employer Identification Number.
68	Tax ID Code	Num 1	M	0-9	The tax ID code is used to determine the format of the Tax ID number and the certification status of the account. Currently does not display. 0=SSN or TIN Missing 1=SSN Non-Certified 2=SSN Certified 3=EIN Non-Certified 4=EIN Certified 5=TIN Applied for 6=SSN IRS Offender 7=EIN IRS Offender 8=SSN Acct Type Exempt 9=EIN Acct Type Exempt
69-103	Registration Name1	Char 35	M		First line of shareowner registration.
104-138	Registration Name2	Char 35	M		Second line of shareowner registration.
139-155	Shares	Num 17	M	13.4	Share balance for the account.
156-172	Balance	Num 17	M	15.2	Total dollars in the account.
173-222	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
ACTS0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.

Error Code	Error Message	Description
ACTS0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
ACTS0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
ACTS0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Account Search by Representative Number

(Example on page 162)

Optional

This function allows the operator to retrieve a listing of accounts within a fund or across the management company, based on the dealer/representative number of the shareowner accounts. The operator has four options that may be selected that determine the sort order of the account list if multiple accounts are returned.

Transaction ID: REPSRCH@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Column	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).

Column	Field Name	Field Type	M/O	Values	Description
14	Search Type Code	Alpha 1	M	D=Dealer/ Rep Search R=Dealer/ Branch/Rep Search	Code that indicates what type of search it is.
15-24	Dealer Number	Char 10	M/O		Dealer number of record on the account. This field is mandatory if the Operator ID has dealer, dealer/branch or representative security; otherwise, send spaces.
25-34	Branch Number	Char 10	M/O		The branch designation for the operator. Optional for IDs with dealer security, tax ID security or no security, unless branch number is entered by operator.
35-44	Representative Number	Char 10	M/O		Number of the representative on the account. This field is mandatory if the Operator ID has representative security; otherwise, send spaces.
45	Search Across Funds	Alpha 1	M	A=All S=Selected	Code that indicates whether to search only the selected fund or all funds within a fund group.
46	Sort Order	Alpha 1	M	T=Tax ID/ZIP C=Cum Disc/ZIP F=Fund/ Account A= Alphabetical by Alpha code	Code that indicates how the results of the search will be sorted.
47-107	Index	Char 61	O		Index to request additional accounts when list is longer than a single request.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-61	Index	Char 61	M		If non-spaces, contains index to request next group of accounts.

Columns	Field Name	Field Type	M/O	Values	Description
62-111	Filler	Char 50		Send spaces.	For future use.
112-114	Occurrences	Num 3	M	000-150	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-28	Internal Fund Code	Num 15	M		Fund Code.
29-38	Filler	Char 10	O	Send spaces.	For future use.
39-58	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.
59-67	Tax ID Number	Num 9	M		Displays the shareholder's tax identification number. This number is either a Social Security Number or an Employer Identification Number.
68	Tax ID Code	Num 1	M	0-9	The tax ID code is used to determine the format of the Tax ID number and the certification status of the account. Currently does not display. 0=SSN or TIN Missing 1=SSN Non-Certified 2=SSN Certified 3=EIN Non-Certified 4=EIN Certified 5=TIN Applied for 6=SSN IRS Offender 7=EIN IRS Offender 8=SSN Acct Type Exempt

Error Messages

60

Error Code	Error Message	Description
RSCH0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Account Search by Shareowner Name

(Example on page164)

Optional

This function allows the operator to retrieve a shareowner account based on the name of the shareowner. This function also allows retrieval within a specified fund or across the entire management company, and within a state of residence.

Transaction ID: NAMESRCH@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Shareowner Last Name	Char 20	M		The shareowner's last name. A minimum of two characters is required.
34	Shareowner Middle Initial	Char 1	M		The shareowner's middle initial (optional field).
35-54	Shareowner First Name	Char 20	M		The shareowner's first name (optional field).
55-57	Resident State Country Code	Char 3	M		A two-character country code (plus one space) that indicates the state and country of residence of the shareowner. For example, Missouri would be "MO_." Optional field.

Transaction Fixed Response Data

Transaction Variable Repeatable Response Data

November 22, 1999

Columns	Field Name	Field Type	M/O	Values	Description
68	Tax ID Code	Num 1	M	0-9	The tax ID code is used to determine the format of the Tax ID number and the certification status of the account. Currently does not display. 0=SSN or TIN Missing 1=SSN Non-Certified 2=SSN Certified 3=EIN Non-Certified 4=EIN Certified 5=TIN Applied for 6=SSN IRS Offender 7=EIN IRS Offender 8=SSN Acct Type Exempt 9=EIN Acct Type Exempt
69-103	Registration Name1	Char 35	M		First line of shareowner registration.
104-138	Registration Name2	Char 35	M		Second line of shareowner registration.
139-155	Shares	Num 17	M	13.4	Share balance of the account.
156-172	Balance	Num 17	M	15.2	Total dollars in the account.
173-222	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
NAMS0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.

650321 " 2632450

Error Code	Error Message	Description
NAMS0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
NAMS0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
NAMS0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Account Search by Tax ID Number

(Example on page 165)

Required

This function allows the operator to retrieve accounts by entering the tax identification number (TIN) or social security number of the desired accounts. The operator may search within a fund, or across the management company.

Transaction ID: TINSRCH@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).

Columns	Field Name	Field Type	M/O	Values	Description
14-22	Tax ID Number	Num 9	M		Displays the shareowner's tax identification number. This number is either a Social Security Number or an Employer Identification Number.
23	Search Across Funds	Alpha 1	M	A=All S=Selected	Code that indicates whether to search only the selected fund or all funds within a fund group.
24	Filler	Char 1		Send spaces.	For future use.
25-49	Index	Char 25	M		Index to request additional accounts when list is longer than a single request.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1	Maximum Number of records exceeded	Char 1	M		Flag that indicates whether more records exist that have not been retrieved.
2-26	Index	Char 25	M		If non-spaces, contains index to request next group of accounts.
27-76	Filler	Char 50		Send spaces.	For future use.
77-79	Occurrences	Num 3	M	000-157	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-28	Internal Fund Code	Num 15	M		Fund Code.
29-38	Filler	Char 10	O	Send spaces.	For future use.
39-58	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Columns	Field Name	Field Type	M/O	Values	Description
59-67	Tax ID Number	Num 9	M		Displays the shareholder's tax identification number. This number is either a Social Security Number or an Employer Identification Number.
68	Tax ID Code	Num 1	M	0-9	The tax ID code is used to determine the format of the tax ID number and the certification status of the account. Currently does not display. 0=SSN or TIN Missing 1=SSN Non-Certified 2=SSN Certified 3=EIN Non-Certified 4=EIN Certified 5=TIN Applied for 6=SSN IRS Offender 7=EIN IRS Offender 8=SSN Acct Type Exempt 9=EIN Acct Type Exempt
69-103	Registration Name1	Char 35	M		First line of shareowner registration.
104-138	Registration Name2	Char 35	M		Second line of shareowner registration.
139-155	Shares	Num 17	M	13.4	Share balance of the account.
156-172	Balance	Num 17	M	15.2	Total dollars in the account.
173-222	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
TINS0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.

6600227 2632460

Error Code	Error Message	Description
TINS0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
TINS0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
TINS0007	The tax ID entered was not found or is invalid. Please click the Back button on your browser to return to the previous page so that you can make the necessary correction.	Tax ID invalid.
TINS0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Account Year End Information

(Example on page 167)

Optional

This function allows the operator to view information pertaining to fiduciary and non-fiduciary tax reporting for the current and prior tax year.

Transaction ID: YENDINFO@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).

Columns	Field Name	Field Type	M/O	Values	Description
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.
34-37	Tax Processing Year Date	Num 4	M	YYYY	Indicates the tax information for the year.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-15	Income Dividends	Num 15	M	13.2	Income dividends earned for the year.
16-30	Long Term Cap Gains	Num 15	M	13.2	Amount of long-term capital gains paid per share for the year.
31-45	Short Term Cap Gains	Num 15	M	13.2	Amount of short-term capital gains paid per share for the year.
46-60	Cap Surplus	Num 15	M	13.2	Cap surplus earned for the year.
61-75	Fund Expense	Num 15	M	13.2	The amount charged to the shareowner to cover the expenses of the fund.
76-90	Foreign Withholding	Num 15	M	13.2	Total Non-Resident Alien (NRA) withholdings for foreign shareowners.
91-105	Dividend Withholding	Num 15	M	13.2	Dividend withholding withheld for the year.
106-120	Redemption Withholding	Num 15	M	13.2	Redemption withholding withheld for the year.
121-135	Foreign Tax Paid Amount	Num 15	M	13.2	Total foreign tax paid for the year.
136-150	Realloc Income Dividends	Num 15	M	13.2	Income dividends that have been reallocated due to fund error.
151-165	Realloc Long Term Cap Gains	Num 15	M	13.2	Long-term capital gains that have been reallocated due to fund error.
166-180	Realloc Short Term Cap Gains	Num 15	M	13.2	Short-term capital gains that have been reallocated due to fund error.
181-195	Realloc Cap Surplus	Num 15	M	13.2	Capital surplus that has been reallocated due to fund error.
196-210	Taxable Income	Num 15	M	13.2	Total taxable income dividends

1. **Introduction**
 2. **Background**
 3. **Methods**
 4. **Results**
 5. **Conclusion**
 6. **References**
 7. **Appendix**
 8. **Table 1**
 9. **Table 2**
 10. **Table 3**
 11. **Table 4**
 12. **Table 5**
 13. **Table 6**
 14. **Table 7**
 15. **Table 8**
 16. **Table 9**
 17. **Table 10**
 18. **Table 11**
 19. **Table 12**
 20. **Table 13**
 21. **Table 14**
 22. **Table 15**
 23. **Table 16**
 24. **Table 17**
 25. **Table 18**
 26. **Table 19**
 27. **Table 20**
 28. **Table 21**
 29. **Table 22**
 30. **Table 23**
 31. **Table 24**
 32. **Table 25**
 33. **Table 26**
 34. **Table 27**
 35. **Table 28**
 36. **Table 29**
 37. **Table 30**
 38. **Table 31**
 39. **Table 32**
 40. **Table 33**
 41. **Table 34**
 42. **Table 35**
 43. **Table 36**
 44. **Table 37**
 45. **Table 38**
 46. **Table 39**
 47. **Table 40**
 48. **Table 41**
 49. **Table 42**
 50. **Table 43**
 51. **Table 44**
 52. **Table 45**
 53. **Table 46**
 54. **Table 47**
 55. **Table 48**
 56. **Table 49**
 57. **Table 50**
 58. **Table 51**
 59. **Table 52**
 60. **Table 53**
 61. **Table 54**
 62. **Table 55**
 63. **Table 56**
 64. **Table 57**
 65. **Table 58**
 66. **Table 59**
 67. **Table 60**
 68. **Table 61**
 69. **Table 62**
 70. **Table 63**
 71. **Table 64**
 72. **Table 65**
 73. **Table 66**
 74. **Table 67**
 75. **Table 68**
 76. **Table 69**
 77. **Table 70**
 78. **Table 71**
 79. **Table 72**
 80. **Table 73**
 81. **Table 74**
 82. **Table 75**
 83. **Table 76**
 84. **Table 77**
 85. **Table 78**
 86. **Table 79**
 87. **Table 80**
 88. **Table 81**
 89. **Table 82**
 90. **Table 83**
 91. **Table 84**
 92. **Table 85**
 93. **Table 86**
 94. **Table 87**
 95. **Table 88**
 96. **Table 89**
 97. **Table 90**
 98. **Table 91**
 99. **Table 92**
 100. **Table 93**
 101. **Table 94**
 102. **Table 95**
 103. **Table 96**
 104. **Table 97**
 105. **Table 98**
 106. **Table 99**
 107. **Table 100**
 108. **Table 101**
 109. **Table 102**
 110. **Table 103**
 111. **Table 104**
 112. **Table 105**
 113. **Table 106**
 114. **Table 107**
 115. **Table 108**
 116. **Table 109**
 117. **Table 110**
 118. **Table 111**
 119. **Table 112**
 120. **Table 113**
 121. **Table 114**
 122. **Table 115**
 123. **Table 116**
 124. **Table 117**
 125. **Table 118**
 126. **Table 119**
 127. **Table 120**
 128. **Table 121**
 129. **Table 122**
 130. **Table 123**
 131. **Table 124**
 132. **Table 125**
 133. **Table 126**
 134. **Table 127**
 135. **Table 128**
 136. **Table 129**
 137. **Table 130**
 138. **Table 131**
 139. **Table 132**
 140. **Table 133**
 141. **Table 134**
 142. **Table 135**
 143. **Table 136**
 144. **Table 137**
 145. **Table 138**
 146. **Table 139**
 147. **Table 140**
 148. **Table 141**
 149. **Table 142**
 150. **Table 143**
 151. **Table 144**
 152. **Table 145**
 153. **Table 146**
 154. **Table 147**
 155. **Table 148**
 156. **Table 149**
 157. **Table 150**
 158. **Table 151**
 159. **Table 152**
 160. **Table 153**
 161. **Table 154**
 162. **Table 155**
 163. **Table 156**
 164. **Table 157**
 165. **Table 158**
 166. **Table 159**
 167. **Table 160**
 168. **Table 161**
 169. **Table 162**
 170. **Table 163**
 171. **Table 164**
 172. **Table 165**
 173. **Table 166**
 174. **Table 167**
 175. **Table 168**
 176. **Table 169**
 177. **Table 170**
 178. **Table 171**
 179. **Table 172**
 180. **Table 173**
 181. **Table 174**
 182. **Table 175**
 183. **Table 176**
 184. **Table 177**
 185. **Table 178**
 186. **Table 179**
 187. **Table 180**
 188. **Table 181**
 189. **Table 182**
 190. **Table 183**
 191. **Table 184**
 192. **Table 185**
 193. **Table 186**
 194. **Table 187**
 195. **Table 188**
 196. **Table 189**
 197. **Table 190**
 198. **Table 191**
 199. **Table 192**
 200. **Table 193**
 201. **Table 194**
 202. **Table 195**
 203. **Table 196**
 204. **Table 197**
 205. **Table 198**
 206. **Table 199**
 207. **Table 200**
 208. **Table 201**
 209. **Table 202**
 210. **Table 203**
 211. **Table 204**
 212. **Table 205**
 213. **Table 206**
 214. **Table 207**
 215. **Table 208**
 216. **Table 209**
 217. **Table 210**

Message Definitions

69

Columns	Field Name	Field Type	M/O	Values	Description
				2=Correction Required 3=Zero Required 4=Correction Produced 5=Zero Produced	
422	1099INT Form Status Code	Num 1	M	0=Not Created 1=Produced 2=Correction Required 3=Zero Required 4=Correction Produced 5=Zero Produced	Indicates the status of the 1099INT tax form.
423	1042S Form Status Code	Num 1	M	0=Not Created 1=Produced 2=Correction Required 3=Zero Required 4=Correction Produced 5=Zero Produced	Indicates the status of the 1042S tax form.
424	5498 Form Status Code	Num 1	M	0=Not Created 1=Produced 2=Correction Required 3=Zero Required	Indicates the status of the 5498 tax form.

Columns	Field Name	Field Type	M/O	Values	Description
				4=Correction Produced 5=Zero Produced	
425	Year End Reporting Type	Num 1	M	0=Frgr 1099div 1=Frgr 1042 2=Frgr Fiduc 3=Frgr IRA 4=Dom 1099 div 5=Dom Fiduc 6=Dom IRA 7=Dom 1042	Indicates what type of reporting is applicable to the account based on the address of record.
426-428	Foreign Tax Rate	Num 3	M	.3	U.S. tax rate to which a foreign broker is subject.
429-443	Taxable Year AVG Asset Value Amount	Num 15	M	13.2	Displays the Average Asset Value for the tax year.
444	1099DIV Tape Status Code	Num 1	M	0=Not Created 1=Produced 2=Correction Required 3=Zero Required 4=Correction Produced 5=Zero Produced	Indicates the status of the 1099DIV tax tape.

SECRET 462460

Columns	Field Name	Field Type	M/O	Values	Description
445	1099INT Tape Status Code	Num 1	M	0=Not Created 1=Produced 2=Correction Required 3=Zero Required 4=Correction Produced 5=Zero Produced	Indicates the status of the 1099INT tax tape.
446	1042S Tape Status Code	Num 1	M	0=Not Created 1=Produced 2=Correction Required 3=Zero Required 4=Correction Produced 5=Zero Produced	Indicates the status of the 1042S tax tape.
447	5498 Tape Status Code	Num 1	M	0=Not Created 1=Produced 2=Correction Required 3=Zero Required 4=Correction Produced 5=Zero Produced	Indicates the status of the 5498 tax tape.
448-462	Non-Dealer Control Fund Expense Amount	Num 15	M	13.2	Total amount of fund expenses for non-dealer-controlled accounts.

650627 2629460

Columns	Field Name	Field Type	M/O	Values	Description
463-477	Non-Dealer Control Foreign Withholding Amount	Num 15	M	13.2	Total amount of foreign withholding for non-dealer- controlled accounts.
478-492	Non-Dealer Control Dividend Withholding Amount	Num 15	M	13.2	Total amount of dividend withholding for non-dealer- controlled accounts.
493	Dealer Control Code	Num 1	O	0=Non- Netwkd 1=Bkr Mrgin IRA 2=Cust Name Bkr 3=Brokerage Bkr 4=Brkerage Fund	Indicates the level of dealer control.
494-508	SEP Employee Contribution Current Year	Num 15	M	13.2	Total amount of SEP employee contributions for the current year.
509-523	IRA Contributions Current Year	Num 15	M	13.2	Total amount of IRA contributions for the current year.
524	1099B Form Status Code	Num 1	M	0=Not Created 1=Produced 2=Correction Required 3=Zero Required 4=Correction Produced 5=Zero Produced	Indicates the status of the 1099B tax form.
525	1099B Tape Status Code	Num 1	M	0=Not Created 1=Produced	Indicates the status of the 1099B tax tape.

550221 " 2632460

Columns	Field Name	Field Type	M/O	Values	Description
				2=Correction Required 3=Zero Required 4=Correction Produced 5=Zero Produced	
526-540	Section 1250 Capital Gain Amount	Num 15	M	13.2	The amount of Section 1250 capital gains (gains from sales or exchanges of depreciable real property) that were paid to the mutual fund account for the tax year.
541-555	Reallocated LTCG 28 Percent Amount	Num 15		Send spaces or null values.	The amount of 28% long-term capital gains that was the result of the reallocation process for the mutual fund account for the tax year. Currently not used.
556-570	Reallocated Section 1250 Capital Gain Amount	Num 15	M	13.2	The amount of Section 1250 capital gains that was the result of the reallocation process for the mutual fund account for the tax year.
571-585	Simple IRA Pre Distribution Amount	Num 15	M	13.2	The total amount of "taxable" distributions from a mutual fund account classified as a simple IRA for the tax year but is considered "premature". A distribution is "premature" when made to an individual who is less than 59½ years old from a mutual fund account that is less than two years old.
586-600	Educational IRA Distribution Amount	Num 15	M	13.2	The total amount of distributions from the mutual fund account that is classified as an Educational IRA for the tax year.
601-615	Loan Default Distribution Amount	Num 15	M	13.2	The total amount of distributions as a result of a default on a loan from the fiduciary mutual fund account for the tax year.

650627 2632460

Columns	Field Name	Field Type	M/O	Values	Description
616-630	Pre Exempt Distribution Tax Amount	Num 15	M	13.2	The total "taxable" premature exempt applies to those shareowners under age 59½ who have elected to take life-expectancy withdrawals from their fiduciary accounts and consequently are not subject to the taxes normally imposed on a redemption made to an individual under age 59½.
631-645	Conversion Roth Contribution Amount	Num 15	M	13.2	The total amount of contributions that were rolled from another retirement type account into the mutual fund account that is classified as a conversion Roth IRA for the tax year.
646-660	SEP Employer Contribution Current Year Amount	Num 15	M	13.2	The amount of the SEP employer contributions in the current year that apply to the current tax year.
661-675	SEP Employer Salary Reduction Tax Year Amount	Num 15	M	13.2	SEP (Self-Employed Pension Plan) employer salary reduction prior (tax) year amount. This is accumulated from the shareowner history file based on how the transaction codes/suffixes are defined within the YE matrix.
676-690	SEP Employer Salary Reduction Current Year Amount	Num 15	M	13.2	SEP (Self Employed Pension Plan) employer salary reduction current year amount This is accumulated from the shareowner history file based on how the transaction codes/suffixes are defined within the YE matrix.
691-705	Filler	Char 15		Send spaces.	Previously used to report '5498 SEP Simple Amount' SEP employer contribution tax year amount + SEP employer contribution current year amount + SEP employer salary reduction tax year amount + SEP employer salary reduction

66066677 26992460

Columns	Field Name	Field Type	M/O	Values	Description
					current year amount
706-720	Filler	Char 15		Send spaces.	Previously used to report '5498 IRA Amount' IRA contributions tax year amount + IRA contributions current year amount + SEP employee contribution tax year amount + SEP employee contribution current year amount.
721-735	IRA Recharacterization Contribution Amount	Num 15	M	13.2	The total amount of distributions from the Mutual Fund Account classified as a recharacterization of an IRA for the tax year. If a shareowner decides to cancel a conversion to an IRA (Roth or Traditional), he or she has until income tax filing time (including extensions) to "undo" it. The distribution amount reflects the amount that is redeemed from "converted to" IRA account.
736-750	IRA Recharacterization Distribution Amount	Num 15	M	13.2	The total distributions from the Mutual Fund Account classified as a recharacterization of an IRA for the tax year. If a shareowner decides to cancel a conversion to an IRA (Roth or Traditional), he or she has until income tax filing time (including extensions) to "undo" it. The distribution amount reflects the amount that is redeemed from "converted to" IRA account.

Columns	Field Name	Field Type	M/O	Values	Description
751-760	1099DIV Form Produced Date	Char 10	M	MM/DD/ YYYY	Date tax forms were produced. This date is used to help gauge when a shareholders can expect to receive their tax forms. This date is also used to assist clients during forms production and is helpful in identifying accounts that may have been affected by coding errors that affect the totals reported to the shareowner.
761-770	1099DIV Tape Produced Date	Char 10	M	MM/DD/ YYYY	Date IRS tax tapes were produced. This date is used to assist the clients during IRS tax tape production and is helpful in identifying accounts that may have been affected by coding errors that affect the totals reported to the IRS.
771-780	1099INT Form Produced Date	Char 10	M	MM/DD/ YYYY	Date tax forms were produced. This date is used to help gauge when a shareholder can expect to receive his or her tax forms. It is also used to assist clients during forms production and is helpful in identifying accounts that may have been affected by coding errors that affect the totals reported to the shareowner.
781-790	1099INT Tape Produced Date	Char 10	M	MM/DD/ YYYY	Date IRS tax tapes were produced. This date is used to assist the clients during IRS tax tape production and is helpful in identifying accounts that may have been affected by coding errors that affect the totals reported to the IRS.

09475637 123099
660E27 2292460

Columns	Field Name	Field Type	M/O	Values	Description
791-800	1042S Form Produced Date	Char 10	M	MM/DD/YYYY	Date tax forms were produced. This date is used to help gauge when a shareholder can expect to receive his or her tax forms. It is also used to assist clients during forms production and is helpful in identifying accounts that may have been affected by coding errors that affect the totals reported to the shareowner.
801-810	1042S Tape Produced Date	Char 10	M	MM/DD/YYYY	Date IRS tax tapes were produced. This date is used to assist the clients during IRS tax tape production and is helpful in identifying accounts that may have been affected by coding errors that affect the totals reported to the IRS.
811-820	5498 Form Produced Date	Char 10	M	MM/DD/YYYY	Date tax forms were produced. This date is used to help gauge when a shareholder can expect to receive his or her tax forms. It is also used to assist clients during forms production and is helpful in identifying accounts that may have been affected by coding errors that affect the totals reported to the shareowner.
821-830	5498 Tape Produced Date	Char 10	M	MM/DD/YYYY	Date IRS tax tapes were produced. This date is used to assist the clients during IRS Tax Tape production and is helpful in identifying accounts that may have been affected by coding errors that affect the totals reported to the IRS.

650227 2292460

Columns	Field Name	Field Type	M/O	Values	Description
831-840	1099B Form Produced Date	Char 10	M	MM/DD/YYYY	Date tax forms were produced. This date is used to help gauge when a shareholder can expect to receive his or her tax forms. It is also used to assist clients during forms production and is helpful in identifying accounts that may have been affected by coding errors that affect the totals reported to the shareowner.
841-850	1099B Tape Produced Date	Char 10	M	MM/DD/YYYY	Date IRS tax tapes were produced. This date is used to assist the clients during IRS tax tape production and is helpful in identifying accounts that may have been affected by coding errors that affect the totals reported to the IRS.
851-900	Filler	Char 50		Send spaces.	For future use.
901-903	Occurrences	Num 3	M	000-100	Number of times the Variable Response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-12	Filler	Char 12		Send spaces.	For future use.
13	Corrected Form Status Code	Num 1	M	0=Needs Original 1=Original 2=Needs Corrected 3=Needs Zero Dlr 4=Corrected 5=Zero Dealer	A code used to indicate the current correction status of the form for this mutual fund account tax jurisdiction period ending qualified account level occurrence (1099R).

660627 229460

Columns	Field Name	Field Type	M/O	Values	Description
14	Corrected Tape Status Code	Num 1	M	0=Needs Original 1=Original 2=Needs Corrected 3=Needs Zero Dlr 4=Corrected 5=Zero Dealer	A code used to indicate the current correction status of the tape for this mutual fund account tax jurisdiction period ending qualified account level occurrence (1099R).
15-27	Redemption Type Short Description	Char 13	O		Short literal that describes what type of redemption (1099R) is displayed.
28-29	Postal Code	Char 2	M		Two-digit abbreviation for the state in which the account was registered at the time of the 1099R redemption.
30-77	Filler	Char 48		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
YEND0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
YEND0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
YEND0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
YEND0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the

Error Code	Error Message	Description
		allotted time.

Alternative Addresses for Statements and Distributions

(Example on page 174)

Required

This function allows the operator to view the alternative mailing address(es) to which the fund sends duplicate statements and/or distributions to the shareowner.

Transaction ID: ADDLMAIL@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-50	Filler	Char 50		Send spaces.	For future use.
51-53	Occurrences	Num 3	M	000-100	Number of times the variable response repeats

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-10	Last Maint Date	Char 10	O	MM/DD/YYYY	Date of Last maintenance.
11	Type of Address	Alpha 1	M	D= Dividend Mail	Indicates if the address is for dividend mail or additional mail.

Columns	Field Name	Field Type	M/O	Values	Description
				A= Addl Mail	
12-46	Registration Name 1	Char 35	M		First line of the additional mail address.
47-81	Registration Name 2	Char 35	M		Second line of the additional mail address.
83-116	Registration Name 3	Char 35	M		Third line of the additional mail address.
117-151	Registration Name 4	Char 35	M		Fourth line of the additional mail address.
152-186	Registration Name 5	Char 35	M		Fifth line of the additional mail address.
187-221	Registration Name 6	Char 35	M		Sixth line of the additional mail address.
222-306	Filler	Char 85		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
ADDM0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
ADDM0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
ADDM0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
ADDM0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Average Cost Information

(Example on page 175)

Optional

This function displays average cost and cost basis information for a shareowner account.

Transaction ID: AVGCOST@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-10	Last Maint Date	Char 10	O	MM/DD/YYYY	Date of last adjustment.
11	Initial Cost Basis Status	Alpha 1	M	P=Pending S=Shareowner D=Dealer R=Representative T=Transfer Agent C=System	Determines who supplied the account level status at the time of the Effective From Date.
13-26	Initial Cost Basis Amount	Num 15	M	13.2	Dollar amount of the shareholders investment for tax purposes.
27-41	Initial Cost Basis Shares	Num 15	M	11.4	Number of shares in the account at the time of the

Columns	Field Name	Field Type	M/O	Values	Description
					Effective From Date.
42	Current Cost Basis Status	Alpha 1	M	P=Pending S=Shareowner D=Dealer R=Representative T=Transfer Agent C=System O=Suspended	The current account level status.
43-52	Last Calc Date	Char 10	M	MM/DD/YYYY	Date the last cost basis calculation occurred.
53-67	Last Calc Shares	Num 15	M	11.4	Number of shares in the account at the time of the last cost basis calculation.
68-82	Last Calc Amount (Current Cost Basis Amount)	Num 15	M	13.2	Value of the account at the time of the last cost basis calculation.
83	Account Reporting Code	Alpha 1	O	Y/N	Determines if the shareholder will receive an average cost statement.
84-93	Effective From Date	Char 10	M	MM/DD/YYYY	Beginning date the account history is available on-line, and is the date average cost statements will be generated.
94-96	Occurrences	Num 3	M	000-500	Number of times the variable response repeats.
97-146	Filler	Char 50		Send spaces.	For future use.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-10	Trade Date	Char 10	M	MM/DD/YYYY	Date adjustment occurred.
11-25	Shares	Num 15	M	11.4	Number of shares that were adjusted.
26	Balance Indicator	Alpha 1	O	A=Add to balance	The effect the adjustment had on the share balance.

2025 RELEASE UNDER E.O. 14176

Columns	Field Name	Field Type	M/O	Values	Description
				S=Sub from balance N=No change	
27	Adjustment Cost Basis Source Code	Alpha 1	M	U=Unknown S=Shareowner D=Dealer R=Representative T=Transfer agent C=System	Determines who supplied the account level status at the time of the adjustment.
28-42	Adjustment Amount	Num 15	M	13.2	Dollar amount of the adjustment.
43-92	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
AVGC0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
AVGC0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
AVGC0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
AVGC0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

650627 463460

Bank Instruction Information

(Example on page Error! Bookmark not defined.)

Required

Within several functions of Vision, the operator can view bank account information displaying the following scenarios:

- Funds from a shareholder's bank account to be debited for the initial purchase of shares in a mutual fund.
- Dividends deposited directly into the shareholder's bank account.
- Funds from a shareholder's bank account to be deposited for the systematic purchase of shares in a mutual fund.
- Systematic redemptions deposited directly into the shareholder's bank account.
- Telephone redemptions deposited directly into the shareholder's bank account.

The bank information function is a subset of other functions, and maintains detailed information for windows that provide bank instruction information.

Transaction ID: BANKINST@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-50	Filler	Char 50		Send spaces.	For future use.
51-53	Occurrences	Num 3	M	000-024	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-9	Instruction ID	Num 9		Send spaces or null values.	Bank Instruction ID. For future use.
10	Bank Account Type	Alpha 1	M	C=Checking S=Savings	Type of Bank Account for this instruction.
11-25	Bank Account Amount	Num 15	O	13.2	Dollar amount of instruction.
26	Bank Account Amount Null	Alpha 1	M	Y/N	If Bank Account Amount is low values, populate null indicator with "Y".
27-41	Bank Account Rate	Num 15	O	5.10	Rate of bank instruction.
42	Bank Account Rate Null	Alpha 1	M	Y/N	If Bank Account Rate is low values, populate null indicator with "Y".
43-57	Bank Account Shares	Num 15	O	11.4	Share amount of bank instruction.
58	Bank Account Shares Null	Alpha 1	M	Y/N	If Bank Account Shares is low values, populate null indicator with "Y".
59-67	Bank Routing Number	Num 9	M		Displays the Federal Reserve's nine-digit routing identification number assigned to the shareholder's bank. The first four digits indicate the bank's Federal Reserve ID number; the second four digits indicate the ABA number; the last digit is the check digit.
68-87	Bank Account Number	Char 20	M		Displays the bank account number of the shareholder's bank. This account is the one to which funds are wired in the case of an expedited redemption or from which pre-authorized check payments are drawn in the case of a PAC.
88-122	Acct Registration 1	Char 35	M		First line of registration on the bank account.

Columns	Field Name	Field Type	M/O	Values	Description
123-157	Acct Registration 2	Char 35	M		Second line of registration on the bank account.
158-192	Bank Name	Char 35	M		Name of the shareholder's bank.
193-227	Bank Street	Char 35	M		Street address of the bank.
228-262	Bank City	Char 35	M		City where the bank is located.
263-265	Bank State Code	Char 3	M		A two-character country code (plus one space) that indicates the state and country where the bank is located. For example, Missouri would be "MO_."
266-274	Bank Zip Code	Num 9	M		Zip Code of the bank.
275-521	Filler	Char 247		Send spaces.	For future use.
522	Wire Redemption Code	Alpha 1	M	Y/N	Value indicating that the bank account is to be used for wire redemptions.
523	Wire Redemption DFL Code	Alpha 1	M	Y/N	Value indicating that the bank account is to be the default for wire redemptions.
524	Systematic ACH Redemption Code	Alpha 1	M	Y/N	Value indicating that the bank account is to be used for systematic ACH redemptions.
525	Systematic ACH Purchase Code	Alpha 1	M	Y/N	Value indicating that the bank account is to be used for systematic ACH purchases.
526	Systematic Draft Purchase Code	Alpha 1	M	Y/N	Value indicating that the bank account is to be used for systematic draft purchases.
527	ACH Special Purchase Code	Alpha 1	M	Y/N	Value indicating that the bank account is to be used for special ACH purchase via telephone.
528	ACH Special Purchase DFL Code	Alpha 1	M	Y/N	Value indicating that the bank account is to be the default for special ACH purchases.
529	ACH Special Redemption Code	Alpha 1	M	Y/N	Value indicating that the bank account is to be used for special ACH redemptions via telephone.

Columns	Field Name	Field Type	M/O	Values	Description
530	ACH Special Redemptions DFL Code	Alpha 1	M	Y/N	Value indicating that the bank account is to be the default for special ACH redemptions.
531	ACH Dividend Code	Alpha 1	M	Y/N	Value indicating that the bank account is to be used for ACH dividends.
532-581	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
BNKI0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
BNKI0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
BNKI0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
BNKI0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Certificate Information

(Example on page 179)

Optional

This function allows the operator to view the status of certificates that have been issued to the shareowner, or returned to the fund.

Transaction ID: CERTINFO@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-50	Filler	Char 50		Send spaces.	For future use.
51-53	Occurrences	Num 3	M	000-100	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Certificate Prefix	Char 3	O	Send spaces.	Alpha description that precedes the certificate number (proprietary to each fund).
4-11	Certificate Number	Num 8	M		Number that identifies the certificate.
12-26	Shares	Num 15	M	11.4	Number of shares involved in the transaction.
27-36	Issue Date	Char 10	M	MM/DD/YYYY	Date certificate was issued.
37-46	Stop Date	Char 10	M	MM/DD/YYYY	Date certificate was stopped.
47-56	Cancel Date	Char 10	M	MM/DD/YYYY	Date certificate was canceled.
57-63	Replacement #	Num 7	M		Determines if the stopped certificate was replaced.

Columns	Field Name	Field Type	M/O	Values	Description
64	Status Flag	Num 1	M	0=Issued 1=Stopped 2=Canceled 3=StopRepl 4=Cancel Repl 5=Stop- deposit 9=Deposited/ Surrendered	Indicates the current status of the certificate.
65-114	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
CERT0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
CERT0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
CERT0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
CERT0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Contingent Deferred Sales Charge (CDSC) Hypothetical Calculation

(Example on page 181)

Required

This function allows the operator to perform a hypothetical redemption calculation, either full or partial, when a CDSC fund is viewed through Vision. These calculations use the most recent NAV.

Transaction ID: HYPOCALC@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.
34	Redemption Type Code	Alpha 1	M	G=Gross N=Net	This field indicates whether the hypothetical redemption will be calculated at gross or net.
35	Full Redemption Code	Alpha 1	M	Y=Full Redemption N=Partial Redemption	This field indicates whether the hypothetical redemption will be a full or partial redemption. If it is a partial redemption, either the Redemption Dollar Amount of Redemption Share Count field is required.
36-50	Redemption Dollar Amount	Num 15	M	13.2	This field is used to specify the redemption amount in dollars.
51-65	Redemption Share Count	Num 15	M	11.4	This field is used to specify the redemption amount in shares.

Columns	Field Name	Field Type	M/O	Values	Description
1-15	Redemption Dollar Amount	Num 15	M	13.2	Dollar amount of the hypothetical redemption.
16-30	Redemption Share Count	Num 15	M	11.4	Share count of the hypothetical redemption.
31-39	NAV	Num 9	M	5.4	Base price of a mutual fund share.
40-54	CDSC Amount	Num 15	M	13.2	The sales charge for the hypothetical redemption.
55-69	Free Money Amount	Num 15	M	13.2	Money that is not subject to CDSC fees.
70-84	Shareowner Check Amount	Num 15	M	13.2	The amount of the check issued to the shareowner consisting of redemption amount minus CDSC fee.
85-134	Filler	Char 50		Send spaces.	For future use.

Error Code	Error Message	Description
HYPO0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
HYPO0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
HYPO0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
HYPO0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Dealer Information

(Example on page 183)

Required

This function provides a consolidated view of account information at the dealer/branch level. When secured at the dealer level, this function provides the broker/dealer with information on any branch under the dealer by entering the appropriate dealer/branch number.

Transaction ID: DEALINFO@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-20	Filler	Char 7		Send spaces.	For future use.
21-30	Dealer Number	Char 10	M		Dealer number of record on the account. This field is mandatory if the Operator ID has dealer, dealer/branch or representative security; otherwise, send spaces.
31-40	Branch Number	Char 10	M/O		The Dealer/Branch designation for the operator. Optional for IDs with dealer security, tax ID security or no security, unless branch number is entered by operator.
41	Search Code	Alpha 1	M	F=FINS ID D=Dealer B=Branch	Indicates what type of search has been initiated.
42-66	Index	Char 25	O		Used for repositioning. Initially spaces, this field is used on subsequent calls and is populated from the Index field in the Fixed Response.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-10	Dealer Number	Char 10	M/O		Dealer number of record on the account. This field is mandatory if the Operator ID has dealer, dealer/branch or representative security; otherwise, send spaces.
11-20	Branch Number	Char 10	M/O		The branch designation for the operator. Optional for IDs with dealer security, tax ID security or no security, unless branch number is entered by operator.
21-27	Filler	Char 7	O	Send spaces.	For future use.
28-62	Dealer Registration Line 1	Char 35	M		Dealer name and address.
63-97	Dealer Registration Line 2	Char 35	M		Dealer name and address.
98-132	Dealer Registration Line 3	Char 35	M		Dealer name and address.
133-167	Dealer Registration Line 4	Char 35	M		Dealer name and address.
168-202	Dealer Registration Line 5	Char 35	M		Dealer name and address.
203-237	Dealer Registration Line 6	Char 35	M		Dealer name and address.
238-272	Dealer Registration Line 7	Char 35	M		Dealer name and address.
273-281	Total Closed Accounts	Num 9	M		Displays the total number of closed accounts for the dealer.
282-290	Total Open Accounts	Num 9	M		Displays the total number of open accounts for the dealer.
291-307	Total Dollar Eval Amt	Num 17	M	15.2	Total dollar value of all assets for the dealer.
308-314	Total Non	Num 7	M		Number of non-networking

Columns	Field Name	Field Type	M/O	Values	Description
	Networking Accts Matrix Level 0				(matrix level 0) accounts for the dealer.
315-321	Total Broker Controlled IRA Margin Accts Matrix Level 1	Num 7	M		Number of broker-controlled IRA margin (matrix level 1) accounts for the dealer.
322-328	Total Customer Name Brokerage Accts Matrix Level 2	Num 7	M		Number of customer name brokerage (matrix level 2) accounts for the dealer.
329-335	Total Broker Controlled Brokerage Accts Matrix Level 3	Num 7	M		Number of broker-controlled brokerage (matrix level 3) accounts for the dealer.
336-342	Total Fund Controlled Brokerage Accts Matrix Level 4	Num 7	M		Number of fund-controlled brokerage (matrix level 4) accounts for the dealer.
343-349	Age Stratification 31-60	Num 7	O		Unsettle orders that are between 30 and 59 days old for the dealer.
350-356	Age Stratification 61-90	Num 7	O		Unsettle orders that are between 60 and 89 days old for the dealer.
357-363	Age Stratification Greater than 90	Num 7	O		Unsettle orders that are older than 90 days.
364-372	Total Outstanding Orders	Num 9	O		Total number of outstanding orders = total sale purchase order + total redemption order amount.
373-389	Total Dollar Amount of Net Orders	Num 17	O	15.2	Total dollar amount of net orders = total sales purchase order + total free purchase order + total redemption order amount.
390-392	Occurrences	Num 3	M	000-300	Number of times the variable response repeats.
393-417	Index	Char 25	O		Used for repositioning. Initially spaces, this field is used on subsequent calls and is populated from the Index field of the Fixed Request.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-30	Total Dollar Evaluation Amount	Num 17	M	15.2	Total dollar value of all assets for the dealer.
31-47	Total Sale Purchase Order Amount	Num 17	O	15.2	Total value of all unpaid orders for the dealer.
48-64	Total Free Purchase Order Amount	Num 17	O	15.2	Total value of all paid and pending orders for the dealer.
65-81	Total Redemption Order Amount	Num 17	O	15.2	Total value of all redemption orders for the dealer.
82-131	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
DLRI0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
DLRI0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
DLRI0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
DLRI0004	The Dealer Number specified is not correct. Please click the Back button on your browser to return to the previous page so that you can make the necessary	Dealer number is not correct.

Dividend Reinvestment Information

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Exchange "To" Security Issue ID	Char 13	M		Identifies the target mutual fund.
14-33	Exchange "To" Account Number	Char 20	M		Identifies the target mutual fund account.

**PRINT OF DRAWINGS
AS ORIGINALLY FILED**

VISION Inquiry Language and Manual

Message Definitions

Columns	Field Name	Field Type	M/O	Values	Description
34	Automatic Reinvest Plan Type	Num 1	M	1=Regular to Regular 2=Fid to Fid 3=Reg to Fid 4=Fid to Reg	Identifies the type of accounts involved in the exchange.
35-69	"To" Registration Name 1	Char 35	M		First line of the additional mail address.
70-104	"To" Registration Name 2	Char 35	M		Second line of the additional mail address.
105-139	"To" Registration Name 3	Char 35	M		Third line of the additional mail address.
140-174	"To" Registration Name 4	Char 35	M		Fourth line of the additional mail address.
175-209	"To" Registration Name 5	Char 35	M		Fifth line of the additional mail address.
210-244	"To" Registration Name 6	Char 35	M		Sixth line of the additional mail address.
245-279	Not Currently Displayed	Char 35	O		Seventh line of the additional mail address.
280-282	"To" Plan Type	Num 3	O	1=Keogh 2=Benefit 3=IRA 4=Spousal IRA 5=Deferred 6=SEP IRA 7=Deferred 403B 8=401K 9=Simple IRA 10=Conversion ROTH	Identifies the "to" account type. Only required for FID-to-FID and REG-to-FID automatic reinvestment plan types.

660227 2E92460

Columns	Field Name	Field Type	M/O	Values	Description
				11=Roth IRA 12=Educational IRA 98=Money Purchase Pension Plan 99=Profit Sharing Retirement Plan	
283	"To" Classification Code	Num 1	O	1=Control Account 2=Employer Account 3=Own Employee 4=Employee Account	Identifies who will be making the contributions for the "to" account. Only required for FID-to-FID and REG-to-FID automatic reinvestment plan types.
284-286	"From" Plan Type	Num 3	O	1=Keogh 2=Benefit 3=IRA 4=Spousal IRA 5=Deferred 6=SEP IRA 7=Deferred 403B 8=401K 9=Simple IRA 10=Conversion Roth 11=Roth IRA 12=Educational IRA 98=Money Purchase Pension Plan 99=Profit Sharing	Identifies the "from" account type. Only required for FID-to-FID and REG-to-FID automatic reinvestment plan types.

Columns	Field Name	Field Type	M/O	Values	Description
				Retirement Plan	
287	"From" Classification Code	Num 1	O	1=Control Account 2=Employer Account 3=Own Employee 4=Employee	Identifies who will be making the contributions for the "From" account. Only required for FID-to-FID and REG-to-FID automatic reinvestment plan types.
288-337	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
DIVM0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
DIVM0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
DIVM0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
DIVM0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Fund Distributions

(Example on page 188)

Optional

This function provides specific information about the distributions (dividends and capital gains) of a particular fund. Information such as record date, payable date, reinvestment date, and all corresponding share prices and rates are provided.

Transaction ID: DISTRIBS@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-23	Filler	Char 10		Send spaces.	For future use.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Occurrences	Num 3	M	000-150	Number of times the variable response repeats.
4-53	Filler	Char 50		Send spaces.	For future use.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-10	Record Date	Char 10	O	MM/DD/YYYY Default = Last	Date when fund company's books are closed and shareholders of record are determined. Declared dividends/capital gains are distributed to accounts that had shares on record date.
11-20	Calculation Date	Char 10	M	MM/DD/YYYY Default = Last	Date when system actually calculates amount of dividends/capital gains to distribute to accounts.
21-30	Payable Date	Char 10	M	MM/DD/YYYY Default = Last	Date on which a dividend payment is due to the security owners.
31-40	Reinvest Date	Char 10	M	MM/DD/YYYY	Date reinvestment is made to the shareholder.

660621 2295460

**PRINT OF DRAWINGS
AS ORIGINALLY FILED**

VISION Inquiry External User Manual

Message Definitions

Columns	Field Name	Field Type	M/O	Values	Description
41-55	Dividend Rate	Numeric 15	M	5.10	Rate at which a fund accrues income dividends.
56-64	Reinvestment Price	Num 9	M	5.4	Price each reinvested share received.
65-79	Long Term Cap Gain Rate	Num 15	M	5.10	Rate at which a fund accrues long-term capital gains.
80-88	Long Term Cap Gain Price	Num 9	M	5.4	Price per share earned for the long-term capital gains.
89-103	Short Term Cap Gain Rate	Num 15	M	5.10	Rate at which a fund accrues short-term capital gains.
104-112	Short Term Cap Gain Price	Num 9	M	5.4	Price per share earned for the short-term capital gains.
113-127	Mutual Fund Distribution Special Dividend 1 Rate	Num 15	M	5.10	Rate at which a fund accrues Special Dividend 1.
128-142	Mutual Fund Distribution Special Dividend 2 Rate	Num 15	M	5.10	Rate at which a fund accrues Special Dividend 2.
143-157	Mutual Fund Distribution 28 Percent Long Term Capital Gain Rate	Num 15	M	5.10	Rate at which a fund accrues 28% long-term capital gains.
158-166	Mutual Fund Distribution Special Dividend 1 Price	Num 9	M	5.4	Price per share earned for the Special Dividend 1.
167-175	Mutual Fund Distribution Special Dividend 2 Price	Num 9	M	5.4	Price per share earned for the Special Dividend 2.
176-184	Mutual Fund Distribution 28 Percent Long Term Capital Gain Price	Num 9	M	5.4	Price per share earned for 28% long-term capital gains.
185-234	Filler	Char 50		Send spaces.	For future use.

660621 22932450

Error Messages

Error Code	Error Message	Description
DIST0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
DIST0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
DIST0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
DIST0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Fund Information

(Example on page 190)

Required

This function provides all pertinent information about each mutual fund. Pricing, yield, total return information, breakpoint schedules, and sales charge (dealer concessions) are available to be viewed.

Transaction ID: FUNDINFO@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a

Columns	Field Name	Field Type	M/O	Values	Description
					one-character test code (P).
14-23	Price Date	Char 10	M	MM/DD/ YYYY Default = Last	Effective date of fund share price.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-18	Redemption Charge	Char 18		Send spaces.	For future use.
19-28	Price Date	Char 10	M	MM/DD/ YYYY	Effective date of fund share price.
29-38	Effective Date	Char 10	O	MM/DD/ YYYY	Effective date of fund yields and quotations.
39-47	NAV	Num 9	M	5.4	Base price of a mutual fund share.
48-58	Daily Dividend Rate	Num 11	O	2.9	Rate at which a fund accrues income dividends daily.
59-63	Daily Yield	Num 5	O	3.2	Dividend income expressed as a percentage of the market price of a fund.
64-68	Effective Wkly Yield %	Num 5	O	3.2	Yield earned for the seven days preceding the as-of-date.
69-73	Current Wkly Yield %	Num 5	O	3.2	Yield earned for the previous seven days.
74-83	Wkly Yield As Of Date	Char 10	O	MM/DD/ YYYY	Date that determines which time period to calculate the yield for the week.
84-88	Monthly Yield	Num 5	O	3.2	Yield earned for the previous month.
89-98	Monthly Yield As Of Date	Char 10	O	MM/DD/ YYYY	Date that determines which time period to calculate the yield for the month.
99-103	Annual Yield	Num 5	O	3.2	Yield earned for the year.
104-106	Average Maturity (days)	Num 3	O		Average time before the debt securities held by the fund will mature.
107-119	One Year Avg	Num 13	O	3.10	Average annual return for the

Columns	Field Name	Field Type	M/O	Values	Description
	Annual Return %				current year.
120-129	One Year Avg Return As Of Date	Char 10	O	MM/DD/YYYY	Date used to calculate the average annual return for the year.
130-142	Five Year Avg Annual Return %	Num 13	O	3.10	Average annual return for the last five years.
143-152	Five Year Avg Return As Of Date	Char 10	O	MM/DD/YYYY	Date used to calculate the average annual return for the last five years.
153-165	Ten Year Avg Annual Return %	Num 13	O	3.10	Average annual return for the last 10 years.
166-175	Ten Year Avg Return As Of Date	Char 10	O	MM/DD/YYYY	Date used to calculate the average annual return for the last 10 years.
176-178	Occurrences	Num 3	O	000-012	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-2	Discount Category	Char 2	O		Code indicating the price break a shareowner will receive on new shares purchased.
3-17	Order Level	Num 15	O	13.2	Cut-off amount for determining which price the shareowner receives when purchases are made.
18-22	Sales Commission	Num 5	O	0.5	The percentage of the gross amount of purchases to be deducted for sales commission.
23-27	Dealer Concession	Num 5	O	0.5	The percentage of the gross amount of purchases to be remitted to the individual dealer as commission.
28-36	Price Per Share	Num 9	O	5.4	Price at which shareowners purchase shares of a load fund.

Error Messages

Error Code	Error Message	Description
FUND0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
FUND0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
FUND0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
FUND0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Fund List

Required

This function is used to return the appropriate information in each individual mutual fund in the management company and to provide the information displayed in NAV Summary View. Most recent NAV, NAV date, CUSIP, fund code, fund name, NASDAQ symbol, and CDSC option information is available.

Transaction ID: FUNDLIST@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-8	Fund Family ID	Char 8	M		Identifies the mutual fund family.
9-18	NAV As Of Date	Char 10	M	MM/DD/YYYY	Date NAV is applicable.

Columns	Field Name	Field Type	M/O	Values	Description
				Default = Last	
19-72	Index	Char 54	M		Index to request additional funds when list is longer than a single request.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-54	Index	Char 54	M		If non-spaces, contains index to request next group of funds.
55-104	Filler	Char 50		Send spaces.	For future use.
105-107	Occurrences	Num 3	M	000-200	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-15	Internal Fund Code	Char 15	M		Fund code.
16-60	Fund Name	Char 45	M		Fund name used for display purposes.
61-73	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
74-94	Not Currently Used	Char 21		Send spaces	Indicates what processing functions can occur on a fund.
95-102	Ticker Symbol	Char 8	M		NASDAQ symbol assigned to the fund.
103-111	NAV	Num 9	M	5.4	Base price of a mutual fund share.
112-121	NAV As-of-Date	Char 10	M	MM/DD/YYYY	Date NAV is applicable.
122-172	Filler	Char 51		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
FNDL0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
FNDL0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
FNDL0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
FNDL0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Management Company Information

Required

This function displays any information regarding the fund management company, such as:

- Management company name
- Marketing and support phone numbers
- E-mail address for all correspondence initiated through Vision
- Security level for the Operator's ID (Dealer/Branch/Rep, for example).

Transaction ID: MGMTINFO@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-8	Fund Family ID	Char 8	M		Identifies the mutual fund family.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-38	Management Name	Char 38	M		Full name of the management company used for display purposes.
39-58	Marketing Phone Text	Char 20	O		This field is a phone number that can be displayed.
59-78	Support Phone Text	Char 20	O		This field is a phone number that can be displayed.
79-278	Management Company E-mail Address	Char 200	O		E-mail address for management company.
279	Security Level	Alpha 1	M	(Spaces)= Unrestricted D=Dealer B=Dealer/ Branch R=Rep T=Tax ID	Level of security defined as "dealer," "branch," "representative," "tax identification number," or "all."
280-300	Not currently used	Char 21		Send spaces.	1-byte determines if the dealer has security for Vision. The remaining flags determine which functions for which the dealer has security.
301	Allow Model From Existing NASU	Alpha 1	M	Y=Yes N=No	Indicates whether or not the fund allows an operator to set up new accounts using the Model From Existing New Account Setup through Vision. For future use with Account Modeling.
302	Allow Initial Purchases via ACH	Alpha 1	M	N = No Y = Yes F = No Fiduciary	N = Initial ACH purchases are not allowed for both fiduciary and non-fiduciary accounts. Y = Initial ACH purchases are allowed for both fiduciary and

Columns	Field Name	Field Type	M/O	Values	Description
				D = No Non-Fiduciary	non-fiduciary accounts. F = Initial ACH purchases are allowed for non-fiduciary, but not allowed for fiduciary accounts. D = Initial ACH purchases are allowed for fiduciary accounts, but not allowed for non-fiduciary.
303	Allow New Account Setup	Alpha 1	M	Y = Yes N = No	Indicates whether or not the fund allows an operator to set up new accounts.
304	Allow NASU Interested Party	Alpha 1	M	Y = Yes N = No	Indicates whether or not the fund allows an operator to set up interested party information for accounts established through the Model from Existing NASU options in Vision. For future use with Account Modeling.
305	Allow Access TRAC	Alpha 1	M	Y = Yes N = No	Indicates whether or not the fund allows an operator to receive the TRAC (Retirement Plan Information) link.
306	Allow Access Electronic Statement	Alpha 1	M	Y = Yes N = No	Indicates whether or not the fund allows an operator to receive the Electronic Statements link.
307	Display Hyperlink to Literature	Alpha 1	M	Y = Yes N = No	Indicates whether or not the fund allows an operator to receive the View Fund Documents link.
308	Allow Access Fund Content	Alpha 1	M	Y = Yes N = No	Indicates whether or not the fund allows an operator to receive the Update Fund Content (Update Marketing Information) link.
309	Filler	Char 1	M	Send spaces.	For future use.
310	Allow Rights of Accumulation Linking to New Accounts	Alpha 1	M	Y = Yes N = No	Indicates whether or not the fund allows automatic linking of new accounts to new rights of accumulation numbers during new account setup.

6506227 2E957460

Columns	Field Name	Field Type	M/O	Values	Description
311	Allow Rights of Accumulation Linking to Existing Accounts	Alpha 1	M	Y = Yes N = No	Indicates whether or not the fund allows automatic linking of existing mutual fund accounts to new rights of accumulation number created during new account setup.
312	Display Non-Resident Alien Citizenship for New Accounts	Alpha 1	M	Y = Yes N = No	Indicates whether or not the fund allows an operator to set up Non-Resident Alien accounts.
313-362	Filler	Char 50		Send spaces.	For future use.
363-365	Occurrences	Num 3	M	000-375	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-10	Dealer Number	Char 10	M/O		Dealer number of record on the account. This field is mandatory if the Operator ID has dealer, dealer/branch or representative security; otherwise, send spaces.
11-20	Dealer Branch Number	Char 10	M/O		The branch designation for the operator. Optional for IDs with dealer security, tax ID security or no security, unless branch number is entered by operator.
21-30	Representative Number	Char 10	M/O		Number of the representative on the account. This field is mandatory if the Operator ID has representative security; otherwise, send spaces.
31-40	Dealer Short Name	Char 10	M		Short Dealer Name.
41	Filler	Char 1		Send spaces.	For future use.
42-81	Dealer Long Name	Char 40	O		Long Dealer Name.
82-131	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
MGMT0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
MGMT0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
MGMT0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
MGMT0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Order Information

(Example on page 192)

Optional

This function displays trade status and corresponding information before and after settlement. The NSCC control number or fund order number can be entered to retrieve the trade. Trade date, trade amount, number of shares, NAV, and confirm date can be viewed.

Transaction ID: ORDERS@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-22	Order Number	Num 9		Send spaces or null values.	DST-assigned order number. Required if NSCC Control Number is not used; Blank if NSCC Control Number is used.
23-37	NSCC Control Number	Char 15	O		NSCC-assigned order number. Required if Order Number is not used; Blank if Order Number is used.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-20	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.
21-30	Filler	Char 10		Send spaces.	For future use.
31-39	Order Number	Num 9	M		Number assigned to the transaction when the order is placed.
40-41	Management Code	Char 2	M		Management code associated with account.
42-51	Dealer Number	Char 10	M		Dealer number of record on the account. This field is mandatory if the Operator ID has dealer, dealer/branch or representative security; otherwise, send spaces.
52-61	Branch Number	Char 10	M		The branch designation for the operator. Optional for IDs with dealer security, tax ID security or no security, unless branch number is entered by operator.
62	Load Code (Fund Type)	Alpha 1	M	Y=Load N=No-Load	Indicates if the fund is a load or no-load fund.
63-71	LOI Number	Char 9	O		Links accounts that signed a contractual agreement to

Columns	Field Name	Field Type	M/O	Values	Description
					purchase a certain amount within 13 months to receive a price break.
72	Record Type (Status)	Alpha 1	M	S=Sale R=Redempt F=Free-Rec C=Clear-Rec	Indicates the status of the transaction. Sale = Purchase Free-Rec = Funds without instructions Clear-Rec = Funds with instructions or cancelled order.
73-82	Process Date	Char 10	M	MM/DD/YYYY	Date the trade was processed to the shareholders account.
83-88	Transaction Identifier	Num 6	O		Indicates the type of transaction. Formatted as xxx/xxx (the "/" is hard coded after the third character).
89-118	Order Transaction Description	Char 30	M		Description of the transaction for the selected order.
119-133	Gross Amount	Num 15	M	13.2	Total dollar amount of the transaction.
134-142	Offering Price	Num 9	M	5.4	Price used for the transaction.
143-157	Shares	Num 15	M	11.4	Number of shares involved in the transaction.
158-172	NAV Amount	Num 15	M	13.2	Base price of a mutual fund share.
173-187	Net From Dealer Amount	Num 15	M	13.2	Amount of purchase less the dealer commission.
188-197	Trade Date	Char 10	M	MM/DD/YYYY	Date transaction was priced.
198-207	Confirmation Date	Char 10	M	MM/DD/YYYY	Date transaction was actually processed.
208-217	Payment Date	Char 10	M	MM/DD/YYYY	Date transaction was settled.
218-252	Dealer Registration Line 1	Char 35	M		Dealer name and address.
253-287	Dealer Registration Line	Char 35	M		Dealer name and address.

Columns	Field Name	Field Type	M/O	Values	Description
	2				
288-322	Dealer Registration Line 3	Char 35	M		Dealer name and address.
323-357	Dealer Registration Line 4	Char 35	M		Dealer name and address.
358-392	Dealer Registration Line 5	Char 35	M		Dealer name and address.
393-427	Dealer Registration Line 6	Char 35	M		Dealer name and address.
428-462	Dealer Registration Line 7	Char 35	M		Dealer name and address.
463-464	Discount Category	Char 2	O		Code indicating the price break a shareholder will receive on new shares purchased.
465	CDSC Calc Date Indicator	Alpha 1	O	T=Trade Calc S=Settle Calc	Determines when the aging for a CDSC fund trade should begin.
466-480	CDSC Sales Charge Amount	Num 15	M	13.2	Amount to be charged to the shareowner for the dealer commission.
481	CDSC Payment Code	Char 1	O	0=Non- DCSC 1=Gross Pay 2=Net Pay 3=Spec Pay 4=Closeout Red	Indicates how the sales charge will be taken from the shareowner.
482-496	Income Dividend Amount	Num 15	O	13.2	Dividend dollar amount calculated while trade was pending.
497-511	Cap Gain Amount	Num 15	O	13.2	Capital gains dollar amount calculated while trade was pending.
512-526	Stock Dividend	Num 15	O	11.4	Shares that have experienced a

Columns	Field Name	Field Type	M/O	Values	Description
	Shares				stock split.
527-541	Income Dividend Shares	Num 15	O	11.4	Dividends calculated while trade was pending.
542-556	Short Term Shares	Num 15	O	11.4	Short-term capital gains calculated while trade was pending.
557-571	Cap Gain Shares	Num 15	O	11.4	Capital gains calculated while trade was pending.
572-586	NSCC Control Number	Char 15	M		NSCC assigned order number.
587-636	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
ORDR0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
ORDR0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
ORDR0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
ORDR0008	The Order Number or NSCC Control number entered corresponds to a dealer that your Vision ID is not authorized to view information for. Please click the Back button on your browser to return to the previous page.	Vision ID not authorized to view order information for a specific dealer.
ORDR0009	The Order Number of NSCC Control number entered corresponds to a dealer/branch that your Vision ID is not authorized to view information for. Please click the Back button on your	Vision ID not authorized to view order information for a specific dealer/branch.

Error Code	Error Message	Description
	browser to return to the previous page.	
ORDR0010	The Order Number or NSCC Control number entered corresponds to a dealer/representative that your Vision ID is not authorized to view information for. Please click the Back button on your browser to return to the previous page.	Vision ID not authorized to view order information for a specific dealer/representative.
ORDR0011	Order Number was not found. Please click the Back button of your browser to return to the previous page so that you can make the necessary correction.	Order number not found.
ORDR0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Pending Transaction Information

(Example on page 196)

Required

This function displays basic information such as trade date, shares, and net and gross dollars for accounts that have transactions that have not settled (excluding orders). Items that may appear in Pending Transactions includes purchases, redemptions, exchanges, transfers and dividend/capital gains reinvestments.

Transaction ID: PENDTRAD@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-50	Filler	Char 50		Send spaces.	For future use.
51-53	Occurrences	Num 3	M	000-200	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-30	Transaction Description	Char 30	M		The description of the transaction.
31-40	Trade Date	Char 10	M	MM/DD/YYYY	Date transaction was priced.
41-55	Shares	Num 15	M	11.4	Number of shares involved in the transaction.
56-70	Net Dollars	Num 15	M	13.2	Dollar amount of the transaction less commission.
71-85	Gross Dollars	Num 15	M	13.2	Total dollar amount of the transaction.
86-135	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
PEND0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
PEND0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
PEND0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
PEND0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the

Error Code	Error Message	Description
		allotted time.

Representative Summary

(Example on page 197)

Required

This function displays a summary of shareowner assets in each fund within a management company.

Transaction ID: REPSUM@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-23	Dealer Number	Char 10	M/O		Dealer number of record on the account. This field is mandatory if the Operator ID has dealer, dealer/branch or representative security; otherwise, send spaces.
24-33	Branch Number	Char 10	M/O		The branch designation for the operator. Optional for IDs with dealer security, tax ID security or no security, unless branch number is entered by operator.
34-43	Representative Number	Char 10	M/O		Number of the representative on the account. This field is mandatory if the Operator ID has representative security; otherwise, send spaces.
44-68	Index	Char 25	O		Used for repositioning. Initially spaces, this field is used on subsequent calls and is populated from the Index field in the Fixed Response.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-10	Representative Number	Char 10	M		Number assigned to the account representative.
11-45	Dealer Registration Line 1	Char 35	M		Dealer name and address.
46-80	Dealer Registration Line 2	Char 35	M		Dealer name and address.
81-115	Dealer Registration Line 3	Char 35	M		Dealer name and address.
116-150	Dealer Registration Line 4	Char 35	M		Dealer name and address.
151-185	Dealer Registration Line 5	Char 35	M		Dealer name and address.
186-220	Dealer Registration Line 6	Char 35	M		Dealer name and address.
221-255	Dealer Registration Line 7	Char 35	M		Dealer name and address.
256-264	Total Number of Accounts	Num 9	M		Total number of accounts across all funds for the representative.
265-281	Total Number of Shares	Num 17	M	13.4	Total number of shares across all funds for the representative.
282-298	Total Account Balance	Num 17	M	15.2	Total assets for the representative across all funds.
299-323	Index	Char 25	O		Used for repositioning. Initially spaces, this field is used on subsequent calls and is populated from the Index field in the Fixed Request.
324-348	Filler	Char 25		Send spaces.	For future use.
349-351	Occurrences	Num 3	M	000-300	Number of times the variable response repeats.

660627 22032460

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-28	Internal Fund Code	Num 15	M		Fund code.
29-35	Number of Accounts for Fund	Num 7	M		Number of accounts in the fund for the representative.
36-50	Number of Shares for Fund	Num 15	M	11.4	Number of shares in the fund for the representative.
51-65	Account Balance for Fund	Num 15	M	13.2	Balance of the accounts for the fund for the representative.
66-80	Percentage of Total for Fund	Num 15	M	5.1	Percentage of assets for the fund for the representative.
81-130	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
RSUM0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
RSUM0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
RSUM0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
RSUM0004	The Dealer number specified is not correct. Please click the Back button on your browser to return to the previous page so that you can make the necessary correction.	Dealer number not correct.

Error Code	Error Message	Description
RSUM0005	The Representative (Rep) Number specified is not correct. Please click the Back button on your browser to return to the previous page so that you can make the necessary correction.	Representative number not correct.
RSUM0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Rights of Accumulation

(Example on page 199)

Optional

This function displays the accounts linked to Rights of Accumulation.

Transaction ID: ROAINFO@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-22	Rights of Accumulation Number	Num 9	O		Links shareowner accounts to provide purchasing discounts and group reporting.
23-42	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.
43-75	Index	Char 33	M		Index to request additional security issue IDs and account numbers.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-15	Group Value Amount	Num 15	M	13.2	Total dollar amount for all accounts for the group.
16-30	Net ROA Amount	Num 15	M	13.2	Total dollar value of all cumulative shares on which a commission has been paid.
31-45	Total Open Accounts	Num 15	M		Total number of open accounts in the group.
46-60	Total Accounts	Num 15	M		Total accounts in the group.
61-73	Next Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P). If blank, no more accounts to retrieve. If non-blank, retrieve more accounts.
74-93	Next Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund. If blank, no more accounts to retrieve. If non-blank, retrieve more accounts.
94-96	Occurrences	Num 3	M	000-020	Number of times the variable response repeats.
97-146	Filler	Char 50		Send spaces.	For future use.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-28	Dollar Valuation	Num 15	M	13.2	Cumulative value for all of the accounts in that fund.
29-43	Associated Accounts Amount	Num 15	O	13.2	Accounts where commissions have been paid on 100% of the total valuation of the group.

660677 4632460

Transaction Variable Repeatable Response Data

Error Messages

November 22, 1999

Error Code	Error Message	Description
ROAI0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Systematic Agreement Information

(Example on page 201)

Required

This function displays all detail associated with the automated purchase and withdrawal of shares by a shareowner.

Transaction ID: SYSSAGREE@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-50	Filler	Char 50		Send spaces.	For future use.
51-53	Occurrences	Num 3	M	000-065	Number of times the following variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1	Agreement Type Code	Alpha 1	M	C=Check D=Draft R=Redempt-ACH P=Purchase-ACH Z=Agreement Amount	Identifies the type of systematic agreement: C=Redemption check to shareholder D=Pre-authorized checking R=Systematic redemption via ACH P=Systematic purchase via ACH Z=Agreement amount (to be used at the fund's discretion)
2-11	Systematic Agreement Start Date	Char 10	M	MM/DD/YYYY	Date the systematic agreement starts.
12-21	Systematic Agreement Stop Date	Char 10	M	MM/DD/YYYY	Date the systematic agreement stops.
22-36	Amount	Num 15	O	13.2	Dollar amount of the systematic agreement.
37	Amount Null Code	Alpha 1	M	Y/N	Determines if a dollar amount will be displayed on the systematic agreement. If a dollar amount should be displayed, the Amount Null Code is 'N' and the Rate Null Code and Shares Null Code are 'Y'.
38-52	Rate	Num 15	O	5.10	Rate of the systematic agreement.
53	Rate Null Code	Alpha 1	M	Y/N	Determines if a percentage will be displayed on the systematic agreement. If a percentage should be displayed, the Rate Null Code is 'N' and the Amount Null Code and Shares Null Code are 'Y'.
54-68	Share Count	Num 15	O	11.4	Share count of the systematic agreement.
69	Shares Null Code	Alpha 1	M	Y/N	Determines if a share amount will be displayed on the

Columns	Field Name	Field Type	M/O	Values	Description
					systematic agreement. If a share amount should be displayed, the Shares Null Code is 'N' and the Rate Null Code and Amount Null Code are 'Y.'
70-81	Contribution Year Table	Alpha 12	M	C=Current P=Previous Z=N/A For Each Month (12)	Identifies what year the contribution will be posted in for each of the 12 months of agreements.
82-93	Month Table	Alpha 12	M	Y/N for each month (12)	Indicates the months for which transactions will be processed.
94-124	Date Table	Alpha 31	M	Y/N for each day	Indicates the days of the month on which transactions will be processed.
125	Fiduciary Purchase Type Code	Alpha 1	M	E=Employee R=Employer L=Loan Repay Z=N/A	Displays the specified purchase contributor.
126	Purchase Confirm Frequency Code	Alpha 1	O	A=All N=Never Q=Quarterly	Identifies when a confirmation will be produced for purchase transactions. If anything other than the listed values are returned (including spaces), "N/A" will be displayed.
127	Redemption Payment Code	Alpha 1	O	G=Gross N=Net S=Special	Indicates the type of payment for a CDSC fund. If anything other than the listed values are returned (including spaces), "N/A" will be displayed.
128	Fiduciary Redemption Type Code	Alpha 1	M	A=Normal B=Premature C=Premature, No Exception D=Disability E=Death Z=Not	Displays the specified redemption type for all exchange relationships from a fiduciary account to a non-fiduciary account.

650627 2632460

Columns	Field Name	Field Type	M/O	Values	Description
				Applicable	
129	Redemption Type Code (Payment Option)	Alpha 1	O	L=Split P=Special S=Shareowner of Record	Indicates how the payment will be allocated. If anything other than the listed values are returned (including spaces), "N/A" will be displayed.
130-404	Filler	Alpha 275		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
SYSA0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
SYSA0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
SYSA0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
SYSA0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Systematic Exchange Information

(Example on page 203)

Required

This function allows the operator to view shareowner instructions for exchanging money between multiple accounts.

Transaction ID: SYSEXCH@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is

preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Occurrences	Num 3	M	000-045	Number of times the variable response repeats.
4-53	Filler	Char 50		Send spaces.	For future use.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Exchange Fund Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Exchange To/From Account Number	Char 20	M		The unique identifier for the "from" or "to" shareowner account within a mutual fund.
34	Exchange To/From Code	Alpha 1	M	F=From T=To	Indicates whether the account is the "from" or the "to" account.
35-44	Established Date	Char 10	M	MM/DD/YYYY	The date on which the plan was established.
45	Method Code (Exchange Option)	Num 1	M	0=Dollar Amt 1=Rate 2=Share count	Indicates the type of exchange.

Columns	Field Name	Field Type	M/O	Values	Description
				3=Declining Bal 4=Life Expect Float 5=Fixed %	
46-60	Dollar Amount	Num 15	M	13.2	The dollar amount of the exchange.
61-75	Percent Rate	Num 15	M	5.10	The percent of the exchange.
76-90	Share Count	Num 15	M	11.4	The share amount of the exchange.
91-93	Declining Balance	Num 3	O		The declining balance of the exchange.
94	Rear End Payment Code	Alpha 1	O	G=Gross N=Net S=No Sales Chg	Indicates the type of payment for a CDSC fund.
95	Exchange Fee Code	Alpha 1	M	Y/N	Indicates whether or not a fee should be charged.
96	January Contrib Year	Alpha 1	O	C=Current P=Previous	Indicates whether the exchange will be posted to the current or prior year for a non-fiduciary to fiduciary exchange.
97	February Contrib Year	Alpha 1	O	C=Current P=Previous	Indicates whether the exchange will be posted to the current or prior year for a non-fiduciary to fiduciary exchange.
98	March Contrib Year	Alpha 1	O	C=Current P=Previous	Indicates whether the exchange will be posted to the current or prior year for a non-fiduciary to fiduciary exchange.
99	April Contrib Year	Alpha 1	O	C=Current P=Previous	Indicates whether the exchange will be posted to the current or prior year for a non-fiduciary to fiduciary exchange.
100	January Exchange Code	Alpha 1	M	D=Deferred N=No Y=Yes	Indicates if exchanges are to be made this month.

6503237 2632460

Columns	Field Name	Field Type	M/O	Values	Description
101	February Exchange Code	Alpha 1	M	D=Deferred N=No Y=Yes	Indicates if exchanges are to be made this month.
102	March Exchange Code	Alpha 1	M	D=Deferred N=N Y=Yes	Indicates if exchanges are to be made this month.
103	April Exchange Code	Alpha 1	M	D=Deferred N=No Y=Yes	Indicates if exchanges are to be made this month.
104	May Exchange Code	Alpha 1	M	D=Deferred N=No Y=Yes	Indicates if exchanges are to be made this month.
105	June Exchange Code	Alpha 1	M	D=Deferred N=No Y=Yes	Indicates if exchanges are to be made this month.
106	July Exchange Code	Alpha 1	M	D=Deferred N=No Y=Yes	Indicates if exchanges are to be made this month.
107	August Exchange Code	Alpha 1	M	D=Deferred N=No Y=Yes	Indicates if exchanges are to be made this month.
108	September Exchange Code	Alpha 1,	M	D=Deferred N=No Y=Yes	Indicates if exchanges are to be made this month.
109	October Exchange Code	Alpha 1	M	D=Deferred N=No Y=Yes	Indicates if exchanges are to be made this month.
110	November Exchange Code	Alpha 1	M	D=Deferred N=No Y=Yes	Indicates if exchanges are to be made this month.

650627 2632460

**PRINT OF DRAWINGS
AS ORIGINALLY FILED**

VISION INQUIRY EXCHANGE FORM MANUAL

Message Definitions

Columns	Field Name	Field Type	M/O	Values	Description
111	December Exchange Code	Alpha 1	M	D=Deferred N=No Y=Yes	Indicates if exchanges are to be made this month.
112-114	Processing Date 1	Num 3	M		First processing day code.
115-117	Processing Date 2	Num 3	M		Second processing day code.
118-120	Processing Date 3	Num 3	M		Third processing day code.
121-123	Processing Date 4	Num 3	M		Fourth processing day code.
124	FIDC Redemption Type	Alpha 1	M	A=Normal B=Premature C=Premature, No Exception D=Disability E=Death Z=Not Applicable	Displays the specified redemption type for all exchange relationships from a fiduciary account to a non-fiduciary account.
125	Fiduciary Purchase Type	Alpha 1	M	E=Employee R=Employer A=Not Applicable	Displays the specified purchase contributor for all exchange relationships from a non-fiduciary account to a fiduciary account.
126-127	Discount Category	Char 2	O		Code indicating the price break a shareowner will receive on new shares purchased.
128-177	Filler	Char 50		Send spaces.	For future use.

Error Messages

Error Code	Error Message	Description
SYSE0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.

2025 RELEASE UNDER E.O. 14176

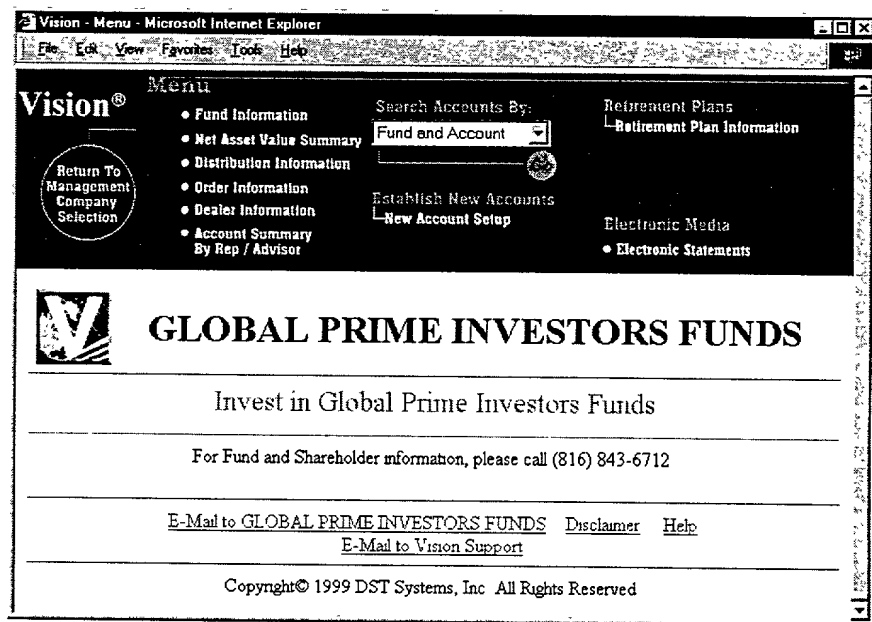
Error Code	Error Message	Description
SYSE0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
SYSE0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
SYSE0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

660627 2632460

Chapter 7:

Non-Format Specific Content

While Vision predominately provides comprehensive information specific to a fund or customer account, Vision also has many features that enable the fund to customize its module within the Vision Web site, as well as provide non-transfer agency related content. The following is a brief description of the dynamic fund-provided marketing content and CDSC hypothetical liability text that allows a client to customize its Vision Web site module.



Vision Management Company Menu

Independent Content or Marketing Text

A section of Vision is dedicated to dynamic, fund-provided content. Vision will allow a fund company to maintain a marketing oriented message or fund specific text with hyperlinks. The space provided is a free form, unlimited text field that the fund can use for any information and/or HTML 3.2. The information will be displayed on the management company's specific Vision menu page. The fund has the option of providing text or hyperlinks within its marketing message to take the operator to any Web site desired, such as the fund's own corporate Web site. The fund is provided with a special Web site address and Operator ID. It is the fund's responsibility to maintain its text information and HTML, which can be remotely updated or deleted by the fund at any time. If text is not provided, the marketing section on the Vision Web page will not be displayed.

The following is a brief description of additional features available that allows a client to customize its Vision Web site module.

Available Fund List Hyperlink

The Vision enrollment and informational Web site (<http://www.dstvisioninfo.com>) provides information about Vision, a listing of the available funds for access, and allows the operators to electronically enroll for Vision. Vision has the option of allowing participants to link from the management company's name on the Available Funds list to the management company's Web site.

E-mail

Vision will allow the operator to send e-mail to a fund-designated address.

Fulfillment and On-line Dealer Statements

Vision provides access to fulfillment information and fund literature via an integrated hyperlink to Output Technologies. Output Technologies maintains this application and therefore no additional details regarding this option are provided in this document.

In addition, Output Technologies offers an on-line dealer statement viewing capability for Vision operators. Additional information is provided upon request.

Fund lists

Vision uses a fund list that contains the fund code, fund name, CUSIP and NASDAQ ticker symbol throughout the Web site.

Logos

Each management company may display its corporate logos throughout its module within Vision. The log displays in the upper left corner of each window.

The logo must be 64 x 64 pixels, black & white or 256 colors, in GIF or JPEG format.

Marketing and Support Telephone Numbers

Marketing and support telephone numbers specific to the fund company can be incorporated into Vision. The numbers will be displayed below the marketing message on the management company's menu page.

650627 46332450

Chapter 8:

Accessing Vision through a Fund's Web Site

Vision has been designed to allow operator entry from both the Vision URL, and/or if desired, the fund's own corporate Web site. If accessed from the fund's Web site, the operator will essentially hyperlink directly into the fund's main menu page within Vision bypassing any reference to any other mutual fund company. This is an integrated process whereby the operator never knows they have left the fund's corporate Web site. However, when leaving the fund's Web site to enter Vision, the sign on window will still be presented and will require the Vision Operator ID.

In addition, the fund may simply want to allow a non-integrated hyperlink from the corporate Web site to the Vision home page at <http://www.dstvision.com>, or the Vision information/enrollment page at <http://www.dstvisioninfo.com>.

05475637-123099

Chapter 9:

Vision Options Implementation Worksheet

Management Level Options

The table should be completed upon the initial implementation of Vision. The information will apply to all funds offered through Vision Mutual Fund Gateway. This information will be updated on a configuration file at DST. Any additions, changes, or deletes to the management level options must be communicated to the Vision department.

Field Name	Description	Setting
Mutual Fund Company Name	The company name of the mutual fund (38 bytes). Displayed on the Vision management list exactly as indicated here.	
Related Accounts	Is the Related Accounts option supported for Fund/Account searches?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Name Search	Is the Account Search by Shareowner option supported?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Name Search Across Funds	Is the Search Across all funds supported for Name Search?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Representative Search	Is the account search by representative number supported?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Representative Search Across Funds	Is the Search Across all funds supported for Representative Search?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Sort Order	Is operator-defined sort order supported? This field determines if sort criteria is displayed in the "Account Search by Rep/Advisor" window.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Tax ID + Zip Code Sort	Is sort by Tax ID + Zip Code supported?	<input type="checkbox"/> Yes <input type="checkbox"/> No

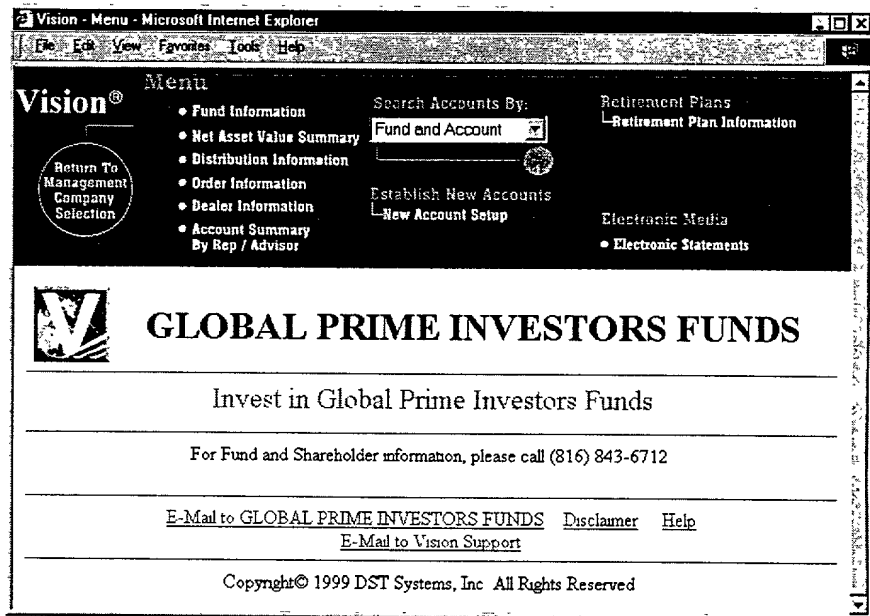
Field Name	Description	Setting
Rights of Accumulation + Zip Code Sort	Is sort by ROA + Zip Code supported?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Fund/Account	Is sort by fund and account number supported?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Name Sort	Is sort by shareowner name supported?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Order Information	Is order information supported?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Fund Distributions	Is fund distributions (dividends/capital gains) supported?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Maintenance History	Is maintenance history supported?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Year End Information	Is the year end details supported?	<input type="checkbox"/> Yes <input type="checkbox"/> No

650621 2E332450

Chapter 10:

Field Descriptions and Definitions

Management Company Menu



Management Company Menu

Account Search by Rep/Advisor

Enables you to retrieve shareholder account information by representative or advisor number. This option enables you to group the retrieved list of accounts by sort criteria options: tax ID number and ZIP code, rights of accumulation number and ZIP code, fund number and account number, or alphabetical by shareholder name.

Account Summary by Rep/Advisor

Displays representative-level account summary information (including fund number, number of accounts by fund, share volume by fund, assets by fund, and totals).

Dealer Information

Displays dealer summary information at the dealer or dealer/branch level. Dealer information includes the dealer's registration, total assets, number of open and closed accounts, total accounts by matrix level, order summary information, and fund level assets.

Distribution Information

Displays a specific fund's dividend and capital gain information (including record date, dividend and capital gain rate and price, reinvest price and payable and reinvest date).

Fund Information

Displays a specific fund's net asset value (NAV), daily dividend rate, yields, total returns, average maturity, redemption charge, and exchange charge for a specified date. The most current information will be displayed unless a specific date is requested.

Net Asset Value Summary

Displays the net asset value (NAV) for each fund within the mutual fund family. The most current information will be displayed unless a specific date is requested.

New Account Setup

Enables you to establish all information for a new account.

Order Information

Displays specific fund order information (including dealer registration, gross amount, trade price, shares, NAV, dealer net amount, trade date, and sales charge). Order information can be retrieved by entering an order number or an NSCC Fund/SERV control number.

Search by Dealer Account (BIN)

Enables you to retrieve shareholder account information by dealer account number. This option enables you to retrieve related accounts within a specific fund or across all funds in that family of funds.

Search by Fund and Account

Enables you to retrieve shareholder account information by fund account number. This option enables you to retrieve related accounts within a specific fund or across all funds in that family of funds.

Fiduciary Information

Vision - Fiduciary Information - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS
Fiduciary Information

28 MPB FUND - MIRRORS GVT FUND 22

Ticker - MGVIF	CUSIP - 226300101	Fund Code - 28
----------------	-------------------	----------------

Account: 778
Tax ID/SSN: 987-80-1964

CGIC TRUSTEE
DEBBIE LOPEZ IRA
TORA TESTING DO NOT USE
503 PACIFIC DR
WELTON MO 64012-2935

Planholder Birthdate: 12/25/1933
Planholder Marital Status: Married
Plan Type: IRA
Classification: Employee Account

Primary Beneficiary	Name	Secondary Beneficiary
DADDY JONES	Address	
	City/St/Zip	
DAD	Relationship	
000-00-0000	Tax ID	000-00-0000
	Birthdate	
	Designated Date	

Current Year YTD Employer Contribution:	\$0.00
Current Year YTD Employee Contribution:	\$0.00
Prior Year YTD Employer Contribution:	\$0.00
Prior Year YTD Employee Contribution:	\$0.00
Inception to Date Employer Contribution:	\$750.00
Inception to Date Employee Contribution:	\$356,097.59
Year to Date Capital Gains:	\$29,497.39
Year to Date Dividends:	\$47,307.86
Inception to Date Capital Gains:	\$210,348.80
Inception to Date Dividends:	\$157,791.09
Year to Date Nontaxable Withdrawals:	\$0.00
Year to Date Taxable Withdrawals:	\$100.00
Year to Date Withholdings:	\$0.00
Inception to Date Nontaxable Withdrawals:	\$355,006.66
Inception to Date Taxable Withdrawals:	\$16,286.00
Inception to Date Withholdings:	\$1,059.00

[Return To Menu](#) [Help](#)

Copyright © 1998 DST Systems Inc. All Rights Reserved

Fiduciary Information

Account

Displays the shareholder's account number, as identified by the fund company.

Classification

Displays the contribution classification of the account. The classification may be:

- control account
- employer account
- own employee

- employee account

Current Year YTD Employee Contribution

Displays the current year-to-date contributions made by the employee.

Current Year YTD Employer Contribution

Displays the current year-to-date contributions made by the employer.

Inception to Date Capital Gains

Displays the total capital gains earned since the inception of the account.

Inception to Date Dividends

Displays the total dividends earned since the inception of the account.

Inception to Date Employer Contribution

Displays the inception-to-date contributions made by the employer.

Inception to Date Employee Contribution

Displays the inception-to-date contributions made by the employee.

Inception to Date Nontaxable Withdrawals

Displays the nontaxable withdrawals made from the account since its inception.

Inception to Date Taxable Withdrawals

Displays the taxable withdrawals made from the account since its inception.

Inception to Date Withholdings

Displays the withholdings on the account since its inception.

Plan Type

Displays the account type. The account type may be:

- Keogh
- benefit
- IRA
- spousal IRA
- deferred
- SEP IRA
- deferred 403B
- 401K

Planholder Birthdate

Displays the shareholder's date of birth.

Planholder Marital Status

Displays the shareholder's marital status. The status may be:

- married
- single

Primary Beneficiary

Displays the primary beneficiary's name, mailing address, relationship, tax identification number, and date of birth. This field also displays the date on which the primary beneficiary was designated as such.

Prior Year YTD Employer Contribution

Displays the year-to-date contributions made by the employer for the previous year.

Prior Year YTD Employee Contribution

Displays the year-to-date contributions made by the employee for the previous year.

Return to Menu

Returns to the Management Company Menu.

Secondary Beneficiary

Displays the secondary beneficiary's name, mailing address, relationship, tax identification number, and date of birth. This field also displays the date on which the secondary beneficiary was designated as such.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Year to Date Capital Gains

Displays the year-to-date capital gains earned.

Year to Date Dividends

Displays the year-to-date dividends earned.

Cert

Displays whether a certificate was issued for the transaction.

Confirmation Date

Displays the month, day, and year on which the transaction was processed.

Description

Displays a description of the transaction, such as the year of the transaction or the transaction type.

Discount Cat

Displays the price break a shareholder will receive on new shares purchased.

Price

Displays the price per share that corresponds to the transaction record.

Return to Account List

Returns to the Account List window.

Schedule

Displays whether the transaction occurred before noon ("AM") or after noon ("PM").

Share Balance

Displays the total share balance of the shareholder's account after the transaction.

Shares

Displays the number of shares corresponding to the transaction.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Trade Date

Displays the trade date assigned to the specified transaction. This date is the effective date of the transaction and may or may not be equal to the confirmation date. For financial transactions, this is the date used to determine the share price.

Transaction Sequence

Displays a number indicating the sequence in which the transaction was processed.

Transaction ID

Displays the transaction code and suffix. The transaction code and suffix define the specific transaction type for the displayed transaction.

Shareholder Account Information

VISION - Shareholder Account Information - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
Shareholder Account Information
Today's Date: 06/20/1999

Ticker: CSPAF CUSIP: CUSIP9700 Fund Code: 97

Account: 5000000213 JOHN P KELLER
Account History 7914 NW 76TH TER
KANSAS CITY MO 64152-4419

Total Shares:	384.9860	Date Established:	10/23/1998
Issued Shares:	0.0000	Last Maintenance:	10/19/1998
Unissued Shares:	384.9860	Dealer Name:	MIDWEST BROKERAGE
Recur Shares:	120.0000	Dealer / Branch:	0011111 / 111
NAV per Share:	\$10.9700	Rep / Advisor Name:	
NAV as of Date:	06/29/1999	Dealer Account:	
Account Value:	\$4,223.30	Rep / Advisor Number:	1234
Net Pending (Reinvest)		Matrix Level:	0
Distribution Amount:	\$0.00	Alpha Code:	KELLEJOHNP
Net Pending (Cash)		Cumulative Discount Number:	0
Distribution Amount:	\$0.00	Letter of Intent Number:	000043203
Daily Dividend Accrual:	\$0.00		
Capital Gains: Reinvest			
Dividends: Reinvest			
Tax ID:	497-82-2623		

Account Options	Additional Information	Transactions
<ul style="list-style-type: none"> • Audio Response • Correspondence Pending • Language English • Telephone Exchange 	<ul style="list-style-type: none"> • Account History • Account Maintenance History • CDSC Hypothetical Calculation • Dealer Information • Year End Summary 	<ul style="list-style-type: none"> • Exchange

Return to Account List Disclaimer Help
E-Mail to Vision Support

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Shareholder Account Information

Account

Displays the shareholder's account number, as identified by the fund company.

Account History

Displays account transaction lists.

Account Maintenance History

Displays maintenance history for the account.

Account Value

Displays the dollar value of the account. Account value is determined by multiplying the sum of the issued and unissued shares by the net asset value.

Additional Mail

Displays the full registration and additional mailing addresses associated with the account.

Alpha Code

Displays a shareholder's alpha code. An alpha code is a ten-character code that can be formatted in one of the following ways:

- the entire last name (up to ten characters) followed by as much of the first name as will fit
 - (5-4-1) the first five letters of the last name, the first four letters of the first name, and the middle initial. If the first or last name does not have the required number of letters or if a middle initial is not supplied, hyphens (-) will complete the spaces
-

Average Cost

Displays initial and current cost basis information.

Bank Instructions

Displays the routing number and address of the bank to which the shareholder account is linked as well as the account number, registration, and type.

Capital Gains

Displays the method for distributing capital gains: reinvest or pay in cash.

CDSC Hypothetical Calculation

Displays hypothetical information on contingent deferred sales charge (CDSC) fees for a redemption from the account. (Displayed fees are for informational purposes only. This window does not initiate an actual redemption transaction.)

044537460

Certificates

Displays certificate and status information about any issued certificates for the account.

Rights of Accumulation Number

Displays the rights of accumulation (ROA) number. An ROA number links shareholder accounts to provide purchase discount pricing and for group reporting purposes.

Daily Dividend Accrual

Displays the dividend amount that has accrued within the account since the last dividend payment. This applies to daily dividend funds only.

Date Established

Displays the date that the shareholder's account was established with the fund. (If the last maintenance date displayed for the account is before the date established, the Date Established field will indicate the date the account was first funded.)

Dealer Account

Displays the number used by the dealer to identify a client's account.

Dealer Information

Displays account and order summary information by dealer.

Dealer Name

Displays the dealer firm name.

Dealer/Branch

Displays the dealer number and branch number used by the fund company for dealer and branch identification.

Distribution Amount

See either Net Pending (Reinvest) Distribution Amount or Net Pending (Cash) Distribution Amount.

Dividend Reinvestment

Displays registration and fund information for the "from" and "to" accounts involved in an automatic dividend reinvestment plan.

Dividends

Displays the method for distributing dividends: reinvest or pay in cash.

Escrow Shares

Displays the number of escrow shares held in the account. Escrow shares are held in custody by the transfer agent, pending successful completion of a letter of intent (LOI). Usually, the escrow share amount is equal to five percent of the LOI dollar amount.

Exchange

Allows you to exchange shares out of the currently displayed account and in to a new or selected account.

Fiduciary Account

Displays beneficiary and transaction information for the account.

Issued Shares

Displays the number of shares that are in certificate form.

Last Maintenance

Displays the most recent voluntary update to the file.

Letter of Intent Number

Displays the letter of intent (LOI) number. An LOI is a contractual agreement between a shareholder and a dealer stating that the shareholder will invest a certain dollar amount within a specific 13-month period for a specified reduction in price.

Matrix Level

Displays one of five values to indicate the level of dealer control:

- 0 = non-networked broker account
- 1 = broker control IRA margin account
- 2 = customer name brokerage account
- 3 = broker control brokerage account
- 4 = fund controlled brokerage account

NAV Per Share

Displays the dollar value of one share of the fund. Value is determined by the formula (Total Assets - Total Liabilities)/Total Shares Outstanding.

Net Pending (Cash) Distribution Amount

Displays the dollar amount of pending cash distributions. This field displays any of the following distribution types:

- cash income dividends
 - cash short-term capital gains
 - cash long-term capital gains
 - any other miscellaneous cash distribution amounts
-

Net Pending (Reinvest) Distribution Amount

Displays the dollar amount of pending reinvestment distributions. This field displays any of the following distribution types:

- reinvest income dividends
 - reinvest short-term capital gains
 - reinvest long-term capital gains
 - any other miscellaneous reinvestment distribution amounts
-

Pending Trades

Displays transaction information for pending trades associated with the account.

Purchase

Allows you to purchase shares of the currently displayed account.

Redeem

Allows you to redeem shares of the currently displayed account.

Rep/Advisor Name

Displays the name of the representative on the account.

Rep/Advisor Number

Displays the number assigned to the dealer representative on the account.

Return to Account Lists

Returns to the Account List window.

Rights of Accumulation (ROA)

Displays group value amounts and information about accounts linked to the account.

Systematic Agreement

Displays the calendar and redemption or purchase information for the systematic agreement.

6502227 2E952460

Systematic Exchange

Displays calendar information and transaction settings for the systematic exchange.

Tax ID

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Total Shares

Displays the current share balance of the account.

Unissued Shares

Displays the number of shares in the account that do not have issued certificates.

Year End Summary

Displays reporting, distribution, contribution, and form/tape status information.

660227 2023/04/09

Account Maintenance History

GLOBAL PRIME INVESTORS Account Maintenance History				
28 MFR FUND - MIRRORS GVT FUND 22				
Ticker - MGVTF		CUSIP - 226300101		Fund Code - 28
Account: 8408		DEBBIE R LOPEZ		
Text ID/SSN: 499-70-4453		507 PACIFIC DR		
		BELTON MO 64012-2935		
Maint Date	Batch Number	Field Name	Previous Field Value	Current Field Value
12/14/1998	0008818	PHN-CHK-REDEM-CDE	N	Y
12/14/1998	0008818	PHN-CHK-REDEM-CDE	Y	Y
12/14/1998	0008818	REG-NAME-2	503 PACIFIC DR	507 PACIFIC DR
12/14/1998	0008818	PHN-CHK-REDEM-CDE	N	Y
12/14/1998	0008818	PHN-CHK-REDEM-CDE	Y	Y
12/14/1998	0008818	PHN-CHK-REDEM-CDE	N	Y
12/14/1998	0008818	ALPHA-CODE	LOPEZDEBB	41PEZDEBB
12/14/1998	0008818	PHN-CHK-REDEM-CDE	Y	Y
12/11/1998	0008818	PHN-CHK-REDEM-CDE	N	Y
12/11/1998	0008818	PHN-CHK-REDEM-CDE	Y	Y
12/11/1998	0008818	PHN-CHK-REDEM-CDE	N	Y
12/10/1998	0008818	PHN-CHK-REDEM-CDE	Y	Y
12/10/1998	0008818	PHN-CHK-REDEM-CDE	N	Y
12/08/1998	0008818	PHN-CHK-REDEM-CDE	Y	Y
12/08/1998	0008818	PHN-CHK-REDEM-CDE	N	Y
12/08/1998	0008818	PHN-CHK-REDEM-CDE	Y	Y
12/08/1998	0008818	PHN-CHK-REDEM-CDE	N	Y
12/08/1998	0008818	PHN-CHK-REDEM-CDE	Y	Y
11/18/1998	0008818	SOCIAL-SEC-NO	486801964	499704453
11/12/1998	0000123	LINE-CODE	3	2
11/12/1998	0000123	REG-NAME-2	DO NOT USE-SPECIAL DIV	507 PACIFIC DR
11/12/1998	0000123	REG-NAME-3	503 PACIFIC DR	BELTON MO 64012-2935
11/12/1998	0000123	REG-NAME-4	BELTON MO 64012-2935	
11/12/1998	0000123	SOCIAL-SEC-NO	486801963	499704453
05/29/1998	0000001	STOP-MAIL	Y	N
05/29/1998	0000001	STOP-MAIL-DTE	19980529	00000000
05/29/1998	0000001	STOP-MAIL	N	N
05/29/1998	0000001	STOP-MAIL-DTE	00000000	00000000
05/29/1998	0000001	STOP-TRANSFER-CDE	Y	N
05/29/1998	0000001	STOP-TRANSFER-CDE	N	N
05/29/1998	0000001	STOP-MAIL	Y	N
05/29/1998	0000001	STOP-MAIL-DTE	19980529	00000000
05/29/1998	0000001	STOP-MAIL	N	N
05/29/1998	0000001	STOP-MAIL-DTE	00000000	00000000
05/29/1998	0000001	REG-NAME-3	504 PACIFIC DR	BELTON MO 64012-2935
05/28/1998	0000001	EXPEDITED-EXCH	N	Y
05/28/1998	0000001	EXPEDITED-ACCT	N	Y
05/28/1998	0000001	ACH-FLAG	N	Y
05/28/1998	0000001	BENEFIT	6	N
05/28/1998	0000001	EXCHANGE	8	N
02/26/1998	0000633	LINE-CODE	2	2
02/26/1998	0000633	REG-NAME-2	504 PACIFIC DR	507 PACIFIC DR
02/26/1998	0000633	REG-NAME-3	BELTON MO 64012-2936	BELTON MO 64012-2935

Account Maintenance History

Account

Displays the shareholder's account number, as identified by the fund company.

Batch Number

Displays either the data entry number used to group like items together or displays the system-generated batch number assigned to the transaction.

Current Field Value

Displays the value of the specified field after the maintenance transaction was processed.

Field Name

Displays the name of the field that was updated.

Maint Date

Displays the month, day, and year on which updates that did not affect the share or cash balance were made to the account.

Previous Field Value

Displays the value of the specified field before the maintenance transaction was processed.

Return to Account List

Returns to the Account List window.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Account Search by Dealer Account

GLOBAL PRIME INVESTORS FUNDS
Account Search By Dealer Account (BIN)

(Please click on the account number of the account you wish to view.)

Account/ Tax ID (SSN)	Fund Code/ Fund Name	Shareholder Registration	Shares/ Balance
000000218 497-82-2623	34 CLIENT SERVICES MONEY MARKET FUND	JOHN P KELLER 7914 NW 76TH TER	153.6690 \$ 2,979.64
000000218 497-82-2623	37 CLIENT SERVICES SPECIALIZED PORTFOLIOS	INVESTORS FIDUCIARY TRUST CO. IRA BRO J PATRICK KELLER	35,353.5010 \$ 397,627.91
Total Balance: \$ 390,607.55			

Select a Fund:

- 0000096 - CLIENT SERVICES LOAD FUND
- 0000093 - CLIENT SERVICES LOAD TEST FUND
- 0000034 - CLIENT SERVICES MONEY MARKET FUND
- 0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
- 0000095 - NO-LOAD FUND

☒ Retrieve accounts across funds

Dealer Account (BIN): ABC123XYZ

Firm Number (Required): 0011

Agent For Firm (Optional):

Search

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved

Account Search by Dealer Account (BIN)

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Agent for Firm

This ID identifies the agent for firm. Agent for firm is also known as the executing dealer, correspondent firm, or clearing dealer (a dealer who has an agreement to process NSCC trades for another dealer). This field is optional.

Dealer Account (BIN)

This number is used by the dealer to identify a client's account. Dealer account number is also referred to as broker identification number (BIN) or external account number.

Firm Number

This number is used to identify the firm. It is sometimes referred to as FINS, which stands for Financial Institution Numbering System.

Fund Code/Fund Name

Displays the numeric code used to identify a fund on TA2000® and the full fund name.

Retrieve Accounts Across Funds

When selected, this check box will retrieve information for all accounts in a fund family that have the same dealer account number.

Retrieve Related Accounts

When selected, this check box will cause information for related accounts to be retrieved. The Fund defines how accounts are related (for example, by tax ID number, ZIP code, or ROA number).

Shareholder Registration

Displays the first two lines of shareholder registration retrieved from the Voluntary Shareowner Account Master File (A87).

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

650227 2632460

Account Search by Fund and Account

GLOBAL PRIME INVESTORS FUNDS
Account Search By Fund and Account

(Please click on the account number of the account you wish to view.)

Account/ Tax ID (SSN)	Fund Code/ Fund Name	Shareholder Registration	Shares/ Balance
54592 497-32-2625	01 CLIENT SERVICES SPECIALIZED PORTFOLIOS	INVESTORS FIDUCIARY TRUST CO. IRA, RO J PATRICK KELLER	35,353.5010 \$ 387,827.91
			Total Balance: \$ 387,827.91

Select a Fund

- 0000096 - CLIENT SERVICES LOAD FUND
- 0000093 - CLIENT SERVICES LOAD TEST FUND
- 0000034 - CLIENT SERVICES MONEY MARKET FUND
- 0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
- 0000095 - NO-LOAD FUND

Shareholder Account Number: 54592

☐ Retrieve related accounts

Search

Return to Menu | Disclaimer | Help

E-Mail: Visions@vpi.com

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Account Search by Fund and Account

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Fund Code/Fund Name

Displays the numeric code used to identify the fund on TA2000® and the full fund name.

Retrieve Related Accounts

When selected, this check box will cause information for related accounts to be retrieved. The Fund defines how accounts are related (for example, by tax ID number, ZIP code, or ROA number).

Return to Menu

Returns to the Management Company menu.

Shareholder Account Number

Enter the shareholder's account number, as identified by the fund company.

Shareholder Registration

Displays the first two lines of shareholder registration retrieved from the Voluntary Shareowner Account Master File.

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

Account Search by Rep/Advisor

Vision - Account Search By Rep / Advisor - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
Account Search By Rep / Advisor

Select a Fund

0000096 - CLIENT SERVICES LOAD FUND
0000093 - CLIENT SERVICES LOAD TEST FUND
0000034 - CLIENT SERVICES MONEY MARKET FUND
0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
0000095 - NO-LOAD FUND

☒ Retrieve accounts across funds

Dealer Number:

Rep / Advisor Number:

Select Sort Criteria

☐ Tax ID + ZIP Code
☐ Cumulative Discount Number + ZIP Code
☐ Fund + Account Number
☐ Alphabetical by Name

Search

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved

Account Search by Rep/Advisor

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Alphabetical by Name

Displays the returned list of accounts in alphabetical order by shareholder name.

Alphabetical by Name

Displays the returned list of accounts in alphabetical order by shareholder name.

Rights of Accumulation + ZIP Code

Displays the returned list of accounts in ROA number and ZIP code order.

Dealer Number

This number is used to identify the dealer.

Fund + Account Number

Displays the returned list of accounts in fund name and account number order.

Fund Code/Fund Name

Displays the numeric code used to identify a fund on TA2000 and the full fund name.

Rep/Advisor

Identifies the representative or advisor assigned to the account.

Retrieve Accounts Across Funds

When selected, this check box will retrieve information for all accounts in a fund family that have the same shareholder tax ID or Social Security number.

Tax ID + ZIP Code

Displays the returned list of accounts in tax ID and ZIP code order.

Shareholder Registration

Displays the first two lines of shareholder registration retrieved from the Voluntary Shareowner Account Master File (A87).

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

660227 2232460

Account Search by Shareholder Name

Account Search by Shareholder Name

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

First Name

This name is the shareholder's first name on the account registration. This field is optional.

Fund Code/Fund Name

Displays the numeric code used to identify a fund on TA2000® and the full fund name.

Last Name

This name is the shareholder's last name on the account registration.

Middle Initial

This initial is the first letter of the shareholder's middle name on the account registration. This field is optional.

Retrieve Accounts Across Funds

When selected, this check box will retrieve information for all accounts in a fund family that have the same shareholder registration.

Shareholder Registration

Displays the first two lines of shareholder registration retrieved from the Voluntary Shareowner Account Master File.

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

State Code

This code is the two-letter abbreviation for the state listed on the shareholder's account registration. This field is optional.

Account Search by Tax ID/SSN

Global Prime Investors Funds
Account Search By Tax ID / SSN

(Please click on the account number of the account you wish to view.)

Account/ Tax ID (SSN)	Fund Code/ Fund Name	Shareholder Registration	Shares/ Balance
6147 497-42-2623	96 CLIENT SERVICES LOAD FUND	INVESTORY FIDUCIARY TRUST CO CUST FOR THE IRA OF	301,303 \$20,092.17
00000018 497-42-2623	96 CLIENT SERVICES LOAD FUND	JOHN P KELLER 7914 NW 76TH TER	0.0000 \$0.00
00000024 497-42-2623	96 CLIENT SERVICES LOAD FUND	JOHN P KELLER MARILYN B KELLER JT WGS	32.40 \$2,140.4
			Total Balance: \$20,306.21

Select a Fund

- 00000036 - CLIENT SERVICES LOAD FUND
- 00000093 - CLIENT SERVICES LOAD TEST FUND
- 00000034 - CLIENT SERVICES MONEY MARKET FUND
- 00000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
- 00000095 - NO-LOAD FUND

☐ Retrieve accounts across funds

Tax ID / SSN: 497822623

Search

Return to Menu | Disclaimer | Help
E-Mail to Vendor Support

Copyright © 1999 DST Systems, Inc. All Rights Reserved

Account Search by Tax ID/SSN

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Fund Code/Fund Name

Displays the numeric code used to identify a fund on TA2000 and the full fund name.

Retrieve Accounts Across Funds

When selected, this check box will retrieve information for all accounts in a fund family that have the same shareholder tax ID or Social Security Number.

Shareholder Registration

Displays the first two lines of shareholder registration retrieved from the Voluntary Shareowner Account Master File (A87).

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

Tax ID/SSN

This number uniquely identifies the shareholder. You may enter the shareholder's tax ID number or Social Security Number.

6501217 26352460

Year End Summary

VISION - Year End Summary - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS
1998 Year End Summary

28 MFB FUND - MIRRORS GVT FUND 12

Ticker - MGVTF CUSIP - 226300101 Fund Code - 28

Account: 8408 DEBBIE R LOPEZ
Tax ID/SSN: 499-70-4453 507 PACIFIC DR
BELTON MO 64012-2935

Reporting Type: Domestic 1099DIV	Dividend Income: \$504,279.38
Estimated Account Value: \$3,156,957.71	Taxable Income: \$224,034.51
Average Assets: \$0.00	Non-taxable Income: \$230,375.60
Foreign Tax Rate: 0%	Long Term Cap Gains: \$212,153.35
Foreign Tax Paid: \$0.00	Short Term Cap Gains: \$49,869.27
	Section 1250 Cap Gains: \$0.00
	Cap Surplus: \$0.00
	Investment Expense: \$0.00

Distributions	Contributions
Gross: \$716,432.73	IRA (Current Year): \$0.00
Non-tax: \$0.00	Employee (Current Year): \$0.00
Premature: \$0.00	IRA (Tax Year): \$0.00
Pro-Exempt: \$0.00	Conversion Roth: \$0.00
Disability: \$0.00	Employee (Tax Year): \$0.00
Death: \$0.00	Employer (Tax Year): \$0.00
Prohibited: \$0.00	Employer (Current Year): \$0.00
Normal: \$0.00	Employer Salary Reduction (Tax Year): \$0.00
Excess: \$0.00	Employer Salary Reduction (Current Year): \$0.00
Simple IRA: \$0.00	Rollover: \$0.00
Education IRA: \$0.00	5498 IRA: \$0.00
Loan Default: \$0.00	5498 SEP/Simple: \$0.00

Withholdings	Reallocations
Dividend: \$0.00	Dividend Income: \$0.00
Redemption: \$0.00	Long Term Cap Gains: \$0.00
Foreign: \$0.00	Short Term Cap Gains: \$0.00
	Section 1250 Cap Gains: \$0.00
	Cap Surplus: \$0.00

Form Status	Tape Status
1099DIV: Not Created	Not Created
1099INT: Not Created	Not Created
1042S: Not Created	Not Created
5498: Not Created	Not Created
1099B: Not Created	Corrected

[1997 Year End Summary](#) [1998 Year End Summary](#)

[Return To Menu](#) [Help](#)

Copyright © 1998 DST Systems Inc. All Rights Reserved.

Year End Summary

Account

Displays the shareholder's account number, as identified by the fund company.

Account Value as of xx\xx\xx

Displays a dollar value that represents the total market value of the account as of the date shown. This field displays when "Prior Tax Year" was selected on the previous window.

Average Assets

Displays the average assets for the account for the taxable year.

Cap Surplus

Displays the capital surplus amount. This amount may be displayed as one of the following two amounts:

- the total from the capital surplus category on the Year End Fund/Account Totals File
- the total from the reallocated capital surplus category on the Year End Fund/Account Totals File

This field may display both an original amount and a reallocated amount. A negative sign (—) displays next to any negative figure. There is no original non-taxable income dividend amount. Non-taxable income dividends can be obtained only through reallocation.

Dividend Income

Displays the ordinary income reported in Box1B of the 1099-DIV tax form.

Estimated Account Value

Displays a dollar value that represents the total market value of the account for the current tax year. This field displays when "Current Tax Year" was selected on the previous window.

Foreign Tax Paid

Displays the total from the foreign tax credit category on the Year End Fund/Account Totals File. This amount should equal the amount displayed under "Foreign tax paid" on both the 1099-DIV form for domestic accounts and on the 1099-INT form.

Foreign Tax Rate

Displays the foreign tax rate that should be withheld from dividend and capital gains distributions paid to a foreign account. This rate is taken from the Voluntary Shareowner Account Master File (A87) on December 31 of the taxable year.

Investment Expense

Displays the fund expense amount on the Year End Fund/Account Totals File. On the 1099-DIV form, the amount displayed should equal the amount under investment expense.

Long-Term Cap Gains

Displays the dollar amount of the long-term capital gains that are paid per share.

Non-Taxable Income

Displays the non-taxable reallocated income dividend amount from the Year End Year To Date Account Totals file.

Reporting Type

Displays the plan type. Plan types are:

- Foreign 1099
 - Foreign 1042S
 - Foreign Fiduciary-Non-IRA
 - Foreign IRA
 - Domestic 1099
 - Domestic 1042S
 - Domestic Fiduciary-Non-IRA
 - Domestic IRA
-

Return to Menu

Returns to the Management Company menu.

Section 1250 Cap Gains

Displays the dollar amount of the section 1250 capital gains that are paid per share.

Short-Term Cap Gains

Displays the dollar amount of the short-term capital gains that are paid per share.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

09475337 12099
650627 26952460

Taxable Income

Displays the taxable income dividend amount from the Year End Year To Date Account Totals file.

Distributions

Death

Displays the total in the death distributions category on the Year End Fund/Account Totals File. This amount appears on the 1099-R form.

Disability

Displays the total in the disability distributions category on the Year End Fund/Account Totals File. This amount will appear on the 1099-R form.

Education IRA

Displays the total amount of distributions from an educational IRA account in the tax year.

Excess

Displays the total in the excess distributions category on the Year End Fund/Account Totals File. This amount appears on the 1099-R form.

Gross

Displays the gross dollar amount determined by the type of 1099 form:

- 1099-DIV—displays the amount under “Gross dividends and other distributions” for domestic accounts. The 1099-DIV amount should equal the sum of the following amounts: ordinary income + long-term capital gains + capital surplus (including the non-taxable income dividends).
 - 1099-INT—displays the amount under “Earnings from Savings and Loan”.
 - 1042S—displays the “Gross amount of income paid”.
-

Loan Default

Displays the total amount of distributions from an account as a result of a default on a loan for the tax year.

Non-Tax

Displays the dollar amount of dividends from reallocated income that are non-taxable. This amount comes from the Year End Fund/Account Totals File. Taxable income is the total from the reallocated surplus and the non-taxable income dividend categories on the Year End Fund/Account Totals File.

Note: On the 1099-DIV form, the amount displayed should equal the amount under "Non-Taxable Distributions" for domestic accounts. There is no original non-taxable income dividend amount. Non-taxable income dividends can be obtained only through reallocation. Only a reallocated amount is possible for this field. A negative sign (-) will appear next to any negative figure.

Normal

Displays the total in the normal distributions category on the Year End Fund/Account Totals File. This amount will appear on the 1099-R form.

Premature

Displays the total in the premature distributions category on the Year End Fund/Account Totals File. This amount will appear on the 1099-R form.

Pre-Exempt

Displays the total amount of life-expectancy withdrawals from fiduciary accounts. Life-expectancy withdrawals taken by shareowners under age 59½ are not subject to the taxes normally imposed on a redemption made to an individual under age 59½.

Prohibited

Displays the total in the prohibited distributions category on the Year End Fund/Account Totals File. This amount will appear on the 1099-R form.

Simple IRA

Displays the total amount of premature taxable distributions from a Simple IRA in the tax year. A premature distribution is a distribution made to an individual who is not yet 59½ years old from an account less than two years old.

Contributions

Conversion Roth

Displays the total amount of contributions that were rolled from another retirement type account into a Conversion ROTH IRA for the tax year.

Employee (Current Year)

Displays the dollar amount of non-IRA contributions made by the employee for the current year. This amount is reported on the 5498 tax form.

Employee (Tax Year)

Displays the dollar amount of non-IRA contributions made by the employee between January 1 and April 15 to be applied to the previous tax year's contributions. This amount is reported on the 5498 tax form.

Employer (Current Year)

Displays the dollar amount of SEP employer contributions made in the current year that apply to the current tax year.

Employer (Tax Year)

Displays the dollar amount of non-IRA contributions made by the employer between January 1 and April 15 to be applied to the previous tax year's contributions. This amount is reported on the 5498 tax form.

Employer Salary Reduction (Current Year)

Displays the amount of contributions taken from employer salary reduction plans made in the account for the current year.

Employer Salary Reduction (Tax Year)

Displays the amount of contributions taken from employer salary reduction plans made in the account for the tax year.

5498 IRA

Displays the amount of contributions for an 5498 IRA account. This field is calculated from fields in the Year End (B83) file as follows:

$$\text{IRA-CONTRIBUTIONS-TAX-YEAR} + \text{IRA-CONTRIBUTIONS-CURR-YEAR} + \text{SEP-EMPLOYEE-CONTR-TAX-YEAR} + \text{SEP-EMPLOYEE-CONTR-CURR-YEAR} = \text{5498-IRA-AMT}$$

5498 SEP/Simple

Displays the amount of contributions for an 5498 SEP/Simple IRA account. This field is calculated from fields in the Year End (B83) file as follows:

$$\text{SEP-EMPLYR-CONT-TAX-YR-AMT} + \text{SEP-EMPLYR-CONT-CUR-YR-AMT} + \text{SEP-ER-SAL-RED-TAX-YR-AMT} + \text{SEP-ER-SAL-RED-CUR-YR-AMT} = \text{5498-SEP-SIMPLE-AMT}$$

IRA (Current Year)

Displays the totals from the IRA Contributions, Current Year category on the Year End Fund/Account Totals File.

IRA (Tax Year)

Displays the totals from the IRA Contributions, Taxable Year category on the Year End Fund/Account Totals File.

Rollover

Displays the total dollar amount in the rollover contributions category on the Year End Fund/Account Totals File. This amount will appear on the 5498 form as "Rollover IRA Contributions."

Withholdings

Dividend

Displays the total in the dividend withholding category on the Year End Fund/Account Totals File. This amount is reported on the 1099-DIV form under Federal Income Tax Withheld.

Foreign

Displays the accumulated total of nonresident alien (NRA) withholdings for foreign shareholders. This amount equals the foreign tax rate multiplied by the total dividend distributions.

Redemption

Displays the total in the redemption withholding category on the Year End Fund/Account Totals File. This amount will appear on the 1099-R in the following boxes:

- Box 1 = Gross Distributions
- Box 2 = Taxable Amount (distribution category of "3")

Reallocations

Cap Surplus

Displays capital surplus that has been reallocated due to Fund error.

Dividend Income

Displays income dividends that have been reallocated due to Fund error.

Long-Term Cap Gains

Displays long-term capital gains that have been reallocated due to Fund error.

Section 1250 Cap Gains

Displays Section 1250 capital gains that have been reallocated due to Fund error.

Short-Term Cap Gains

Displays short-term capital gains that have been reallocated due to Fund error.

Form/Tape Status

Form/Status

Displays the status of each of the listed forms. A form may be:

- not created
 - produced
 - corrected
 - zeroed
-

Tape/Status

Displays the status of each of the listed tapes. A tape may be:

- not created
- produced
- corrected
- zeroed

Additional Mail

The screenshot shows a web browser window titled "Vision - Additional Mail - Microsoft Internet Explorer". The page header includes "GLOBAL PRIME INVESTORS" and "Additional Mail". The main content area displays information for "28 MFB FUND - MIRRORS GVT FUND 22". It includes fields for "Ticker - MGVT", "CUSIP - 226300101", and "Fund Code - 28". Below this, it shows "Account 8740" and "Tax ID/SSN: 486-80-1964". The contact information for "DEBBIE R LOPEZ" is listed: "507 PACIFIC DR" and "BELTON MO 64012-2935". A section titled "Additional Mail" shows the "Last Maintenance Date: 12/30/1997" and the name "LORI SCHWAB" with address "12771 TIMBERCREEK CT" and "BELTON MO 64012". At the bottom, there are links for "Return To Menu" and "Help", and a copyright notice: "Copyright © 1998 DST Systems Inc. All Rights Reserved".

Additional Mail

Account

Displays the shareholder's account number, as identified by the fund company.

Last Maintenance Date

Displays the most recent voluntary update to the account registration.

Return to Menu

Returns to the Management Company menu.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

XXX Mail

Displays a secondary mailing address associated with the account. The field title will indicate the type of address displayed (for example, additional or interested party).

Average Cost

The screenshot shows a web browser window titled "Vision - Average Cost - Microsoft Internet Explorer". The page header for "GLOBAL PRIME INVESTORS" includes the "Average Cost" sub-header. The main content area displays account information for "28 MFB FUND - MIRRORS GVT FUND 22".

28 MFB FUND - MIRRORS GVT FUND 22	
Ticker - MGVTF	CUSIP - 226300101 Fund Code - 28
Account: 8408	DEBBIE R LOPEZ
Tax ID/SSN: 499-70-4453	507 PACIFIC DR
	BELTON MO 64012-2935
Initial Cost Basis:	Current Cost Basis:
Cost Basis Amount: \$1,131.09	Cost Basis Amount: \$1,079.14
Shares: 78.2390	Shares: 78.2390
Cost Per Unit: \$14.4568	Cost Per Unit: \$13.7928
Status: Pending	Status: Pending
Report Average Cost: Yes	Last Calculation Date: 12/08/1995
Last Maintenance Date: 12/16/1998	
Effective From Date: 01/01/1996	

At the bottom of the form, there are links for "Return To Menu" and "Help", and a copyright notice: "Copyright © 1998 DST Systems Inc. All Rights Reserved."

Average Cost

Account

Displays the shareholder's account number, as identified by the fund company.

Return to Menu

Returns to the Management Company menu.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Initial Cost Basis**Cost Basis Amount**

Displays the dollar amount of the shareholder's investment for tax purposes. The initial cost basis is as of the date in the Initial Cost Basis Effective From Date field.

Cost Per Unit

Displays the average cost per share when the transaction was processed.

Effective From Date

Displays the beginning date for which the account's history is available online. This is the date from which average cost statements and transcripts may be generated.

Last Maintenance Date

Displays the most recent voluntary update to the file.

Report Average Cost

Displays whether the shareholder will receive an average cost statement.

Shares

Displays the number of shares that were in the account on the Effective From date.

Status

Displays the account-level status at the time indicated by the Effective From date. One of the following statuses may be shown in this field:

- shareholder supplied

- dealer supplied
- pending
- representative supplied
- system: the account has never had any manual adjustments made to it
- transfer agent supplied

Current Cost Basis

Cost Basis Amount

Displays the dollar amount of the shareholder's investment for tax purposes. The current cost basis is as of the date in the Current Cost Basis Last Calculated Date field.

Cost Per Unit

Displays the current average cost per share.

Shares

Displays the number of shares in the account that were used to determine the current cost per unit.

Status

Displays the account-level status. One of the following statuses may be listed in this field:

- shareholder supplied
- dealer supplied
- pending
- representative supplied
- system: the account has never had any manual adjustments made to it
- transfer agent supplied

Last Calculation Date

Displays the date on which the last average cost calculation occurred. This date may be the result of a request for an average cost statement or transcript or the result of a periodic calculation performed by the fund.

Bank Instructions

Vision - Bank Instructions - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS FUNDS
Bank Instructions

CLIENT SERVICES MONEY MARKET FUND		
Ticker - CSMEF	CUSIP - CUSIP3400	Fund Code - 34
Account: 500		MARY BUCKWORTH CUST
Tax ID/SSN: 030-56-4657		JOHN SMITH
		UNIF TRANS MIN ACT MA
		1260 VICTORY RD RM 3
		NORTH QUINCY MA 02171
Bank Name/Address	Routing: 101000019	
COMMERCE BANK OF KANSAS CITY	Bank Account: 123456	
10TH AND WALNUT	Bank Account: Checking	
KANSAS CITY, MO 64141-0000	Type:	
Bank Account Registration	Transaction Type: ACH Purchase	
MARY BUCKWORTH CUST		
FBO JOHN SMITH		
Bank Name/Address	Routing: 021000021	
THE CHASE MANHATTAN BANK	Bank Account: 1111111	
1 CHASE MANHATTAN PLAZA	Bank Account: Checking	
NEW YORK CITY, NY 10081-0000	Type:	
Bank Account Registration	Transaction Type:	
JOHN SMITH &		
MARY SMITH		
Bank Name/Address	Routing: 011000028	
STATE STREET BANK AND TRUST CO	Bank Account: 4835000	
225 FRANKLIN ST	Bank Account: Checking	
BOSTON, MA 02110-2804	Type:	
Bank Account Registration	Transaction Type: Wire - Debit	
DIMITRA COREY		

[Return to Menu | Disclaimer | Help | E-Mail to Vision Support]

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Bank Instructions

Account

Displays the shareholder's account number, as identified by the fund company.

Bank Account

Displays the bank account number of the shareholder's bank. This account is the one to which funds are wired (in the case of a redemption) or from which payments are drawn (in the case of a pre-authorized purchase).

Bank Account Type

Displays one of two values to indicate the type of bank account from which the purchase will be made or into which the redemption will be deposited:

- C = checking
- S = savings

Bank Account Registration

Displays the complete name(s) to which the bank account is registered.

Bank Name/Address

Displays the name and address of the shareholder's bank.

Return to Menu

Returns to the Management Company menu.

Routing

Displays the Federal Reserve's nine-digit routing identification number assigned to the shareholder's bank. The first four digits indicate the bank's Federal Reserve ID number; the second four digits indicate the American Banking Association (ABA) number; the last digit is the check digit.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Certificates

VISION - Certificates - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS
Certificates

28 MFB FUND - MIRRORS GVT FUND 22

Ticker - MGVTF	CUSIP - 226300101	Fund Code - 28
Account: 8741	DEBBIE LOPEZ	
Tax ID/SSN: 486-80-1964	503 PACIFIC DRIVE	
	BELTON MO 64012-2935	

Prefix	Certificate #	Shares	Issued	Stopped	Cancelled	Replacement #	Status
ID	0006941	70.0000	04/29/1997				Issued

Return To Menu Help

Copyright © 1998 DST Systems, Inc. All Rights Reserved

Certificates

Account

Displays the shareholder's account number, as identified by the fund company.

Canceled

Displays the month, day, and year on which the certificate was deposited to the shareholder's account.

Certificate #

Displays the certificate identification number associated with the issued certificate.

Issued

Displays the month, day, and year on which the certificate was issued.

Prefix

Displays the three-character preface to the certificate number.

Replacement #

Displays the new certificate number, if the certificate has been replaced with a new certificate.

Return to Account List

Returns to the Account List window.

Shares

Displays the number of shares corresponding to the certificate.

Status

Displays one of the following certificate status values:

- issued = the certificate is in issued form
- stopped = the certificate has been reported as lost
- canceled = the certificate has been deposited to the shareholder's account
- replaced = a previously "stopped" certificate has been replaced

Stopped

Displays the month, day, and year on which the certificate was stopped because it was reported as lost or not received.


Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

CDSC Hypothetical Calculation

2 Vision - CDSC Hypothetical Calculation - Microsoft Internet Explorer

File Edit View Favorites Tools Help

 **GLOBAL PRIME INVESTORS FUNDS**
CDSC Hypothetical Calculation

CLIENT SERVICES SPECIALIZED PORTFOLIOS

Ticker - CSPAF	CUSIP - CUSIP9700	Fund Code - 97
Account - 6000005096	PAT R KELLER	
Tax ID/SSN - 333-11-1223	1055 BROADWAY ST FL 8 KANSAS CITY MO 64105-1575	

Total Shares: 18,2480
Account Value: \$200.18

Use the **partial redemption** method to estimate the CDSC fees paid if a specified number of shares or dollar amount were redeemed from an account.

Use the **full redemption** method to estimate the CDSC fees paid if all shares in an account were redeemed (e.g. when closing an account).

Use **gross** to have the CDSC fees taken out of the amount specified.

Use **net** to add the CDSC fees to amount redeemed.

☐ Partial Redemption or ☐ Full Redemption
☐ Gross or ☐ Net
☐ Dollars or ☐ Shares

Redemption Amount:

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

CDSC Hypothetical Calculation

Account

Displays the shareholder's account number, as identified by the fund company.

CDSC Fee

Displays the total CDSC fee charged to the redemption.

CDSC Fee Description

Displays CDSC information specific to the fund family.

Check Amount

Displays the total dollar amount that would be issued to the shareholder. (If the Gross redemption option was selected, this amount will be less any CDSC fees.)

Free Money

Displays the amount of money in the account that is not subject to CDSC fees.

NAV Per Share

Displays the dollar value of one share of the fund as determined by the formula (Total Assets - Total Liabilities)/Total Shares Outstanding.

Redeemed Dollars

Displays the total dollar value of the redemption.

Redeemed Shares

Displays the total share amount of the redemption.

Redemption Amount

If hypothetical fees are being calculated on a partial redemption, the Redemption Amount field must be completed.

- If the Dollars radio button is selected, enter the dollar amount of the redemption. Enter whole dollar amounts only.
- If the Shares radio button is selected, enter the number of whole shares to be redeemed.


Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Dealer Information

3 Vision - Dealer Information - Microsoft Internet Explorer

File Edit View Favorites Tools Help

 **GLOBAL PRIME INVESTORS FUNDS**
Dealer Information

Dealer: 0012345 TEST DEALER
27 MELCHER ST
BOSTON MA 02210-1516

Account Information

Total Assets:	\$2,032,841,606.06	Total Accounts By Matrix Level	
Open Accounts:	63	Level-0: 70	Level-3: 0
Closed Accounts:	7	Level-1: 0	Level-4: 0
		Level-2: 0	

Order Summary Information

Net Orders: \$729,005.50

Total Orders: 3

Orders Older Than 30 Days: 0

Orders Older Than 60 Days: 0

Orders Older Than 90 Days: 3

Orders By Fund

Fund Name	Assets	Paid Purchase Orders	Unpaid Purchase Orders	Redemption Orders
CLIENT SERVICES MONEY MARKET FUND	\$0.00	\$0.00	\$0.00	\$0.00
CLIENT SERVICES LOAD TEST FUND	\$4,139,070.67	\$0.00	\$0.00	\$20,994.50
NO-LOAD FUND	\$1,844,313,939.06	\$0.00	\$750,000.00	\$0.00
CLIENT SERVICES LOAD FUND	\$144,934,102.80	\$0.00	\$0.00	\$0.00
CLIENT SERVICES SPECIALIZED PORTFOLIOS	\$65,434.83	\$0.00	\$0.00	\$0.00

Dealer Number:

Branch Number (Optional):

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Dealer Information

Assets

Displays the total assets within the fund for the selected dealer or branch.

Branch Number

The branch number is the alphanumeric identifier assigned to the dealer branch.

Closed Accounts

Displays the total number of closed accounts for the dealer or dealer branch.

Dealer Number

The dealer number uniquely identifies the dealer.

Fund Name

Displays the full name of the fund.

Net Orders

Displays the net dollar value of all current orders. The amount is calculated by totaling the purchase orders paid and unpaid and subtracting any outstanding redemption orders.

Open Accounts

For each matrix level, displays the total number of open accounts.

Orders Older Than 30 Days

Displays unsettled orders that are more than 29 days old and less than 60 days old.

Orders Older Than 60 Days

Displays unsettled orders that are more than 59 days old and less than 90 days old.

Orders Older Than 90 Days

Displays unsettled orders that are more than 89 days old.

Paid Purchase Orders

Displays the gross dollar amount for all paid purchase orders on the Order Processing File.

Redemption Orders

Displays the gross dollar amount for all outstanding redemption orders on the Order Processing File.

Displays the gross dollar amount for all outstanding purchase orders on the Order Processing File.

Dividend Reinvestment

The screenshot displays a web application titled "Vision - Dividend Reinvestment" running in Microsoft Internet Explorer. The page header includes a logo and the title "Global Prime Investors Funds Dividend Reinvestment". The main content area is divided into sections for account information and investment details.

28 GOVERNMENT BOND FUND		
Ticker - GBFX	CUSIP - 226300101	Fund Code - 28
Account: 778	CGTC TRUSTEE	
Tax ID/SSN: 987-80-1964	DEBBIE JONES IRA	
Plan Type: IRA	TORA TESTING DO NOT USE	
Classification: Employee Account	503 PACIFIC DR	
	WELTON MO 64012-2935	
Reinvested To Fund: 65 GROWTH & INCOME FUND		
Reinvested To Account: 778		
Registration: CGTC TRUSTEE FOR		
CARL J JONES		
TEST A/C FOR IMAGING/AWD		
666 COUNTRY MANOR		
PENNSYLVANIA 6-5000		
Plan Type: IRA		
Classification: Employee Account		
Return To Menu Help		
Copyright © 1999 DST Systems Inc. All Rights Reserved		

Dividend Reinvestment

Account

Displays the shareholder's "from" account number, as identified by the fund company.

Classification

Displays one of the following classifications for the "to" or "from" account:

- control account
- employer account
- owner/employer account
- employee account

Plan Type

Displays the type of investment plan associated with the "to" or "from" account.

Registration

Displays the complete shareholder registration of the "to" account. This information is retrieved from the Voluntary Shareowner Account Master File.

Reinvested To Account

Displays the account number to which dividends are reinvested.

Reinvested To Fund

Displays the fund information to which dividends are reinvested.

Return to Menu

Returns to the Management Company Menu.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

09473374099
660627 2632450

Distribution Information

Vision - Distribution Information - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS FUNDS
Distribution Information

CLIENT SERVICES MONEY MARKET FUND
Ticker - CSMBF CUSIP - CUSIP3400 Fund Code - 34

Record Date	Short Term Rate	Short Term Reinvest Price	Long Term Rate	Long Term Reinvest Price	Dividend Rate	Dividend Reinvest Price	Payable Date	Reinvest Date
10/14/1998	0.00000000	\$21.1000	0.00000000	\$21.1000	0.00000000	\$21.1000	10/15/1998	10/13/1998
03/12/1997	0.00000000	\$0.0000	0.00000000	\$0.0000	0.00000000	\$26.1000	03/12/1997	03/11/1997
08/13/1996	0.10000000	\$26.1000	0.00000000	\$0.0000	0.00000000	\$26.1000	08/14/1996	08/14/1996
05/05/1992	0.00000000	\$0.0000	0.00000000	\$0.0000	0.00000000	\$1.0000	05/05/1992	05/05/1992
05/01/1992	0.00000000	\$0.0000	0.00000000	\$0.0000	0.00000000	\$1.0000	05/01/1992	05/01/1992
04/29/1992	0.00000000	\$0.0000	0.00000000	\$0.0000	0.00000000	\$1.0000	04/29/1992	04/29/1992
04/28/1992	0.00000000	\$0.0000	0.00000000	\$0.0000	0.00000000	\$1.0000	04/28/1992	12/23/1991
04/27/1992	0.00000000	\$0.0000	0.00000000	\$0.0000	0.00000000	\$1.0000	04/27/1992	04/27/1992

Select a Fund

- 0000096 - CLIENT SERVICES LOAD FUND
- 0000093 - CLIENT SERVICES LOAD TEST FUND
- 0000034 - CLIENT SERVICES MONEY MARKET FUND**
- 0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
- 0000095 - NO-LOAD FUND

Retrieve

Return To Menu Help

Copyright © 1998 DST Systems Inc. All Rights Reserved.

Distribution Information

Dividend Rate

Displays the dollar amount of the dividend distribution to be paid per share.

Dividend Reinvest Price

Displays the price per share for dividends to be reinvested.

Long-Term Rate

Displays the dollar amount of the long-term capital gains that are paid per share.

Long-Term Reinvest Price

Displays the price per share at which long-term capital gains are reinvested.

Payable Date

Displays the date on which a distribution is made payable to shareholders.

Record Date

Displays the date on which the shareholders were recorded in the books to receive distributions.

Reinvest Date

Displays the reinvest date of the distribution. This date is used to determine the reinvestment price.

Short-Term Rate

Displays the dollar amount of the short-term capital gains that are paid per share.

Short-Term Reinvest Price


Displays the price per share at which short-term capital gains are reinvested.

660627 " 2632490

Fund Information

Vision - Fund Information - Microsoft Internet Explorer

File Edit View Favorites Tools Help



GLOBAL PRIME INVESTORS FUNDS

Fund Information

Ticker - CSLD
CUSIP - 531545101
Fund Code - 96

Rate/quotations as of: 06/17/1999

NAV: \$55.6100

Daily Dividend Rate: 0.001234567

Average Maturity (days): 0

Redemption/Exchange charge(s) may apply

NOTE: Past performance is not indicative of future results.

Yields

Daily

Current 7-day

Effective 7-day

30 day

Annual

As of Date

Discount Category

Breakpoint Levels	Sales Commission	Dealer Concession	Price	Discount Category
999,999.99	50.000%	40.000%	\$111.2200	01
999,999,999,999.99	50.000%	40.000%	\$111.2200	05
9,999,999,999,999.99	0.000%	0.000%	\$55.6100	99

Select a Fund

0000096 - CLIENT SERVICES LOAD FUND

0000093 - CLIENT SERVICES LOAD TEST FUND

0000034 - CLIENT SERVICES MONEY MARKET FUND

0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS

0000095 - NO-LOAD FUND

Date: (mm/dd/yyyy) 06/17/1999

Leaving date blank retrieves most recent fund information

☐ Retrieve previous date

Retrieve

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Fund Information

Annual (yield)

Displays the annual yield average, as defined by the fund. The annual yield average describes past performance of the fund and does not guarantee future results.

Average Maturity (days)

Displays the average time before the debt securities held by the fund will mature.

Current 7-Day (yield)

Displays the current seven-day yield average, as defined by the fund. The current seven-day yield average describes past performance of the fund and does not guarantee future results.

Daily (yield)

Displays the daily yield by the fund for the date displayed.

Daily Dividend Rate

Displays the daily dividend rate for the fund and date specified (applicable for daily dividend funds only).

Date

Indicates the pricing date for which fund information is retrieved. The date must be entered in mm/dd/yyyy format. (For example, to specify the date February 16, 1998, type "02/16/1998".) If no date or a non-business day is entered, the most recent information will be retrieved.

Effective 7-Day (yield)

Displays the effective seven-day yield average, as defined by the fund. The effective seven-day yield average describes past performance of the fund and does not guarantee future results.

NAV

Displays the Net Asset Value. The Net Asset Value is the dollar value of one share of the fund as determined by the formula (Total Assets - Total Liabilities)/Total Shares Outstanding.

Retrieve Previous Date

When selected, this check box will cause the prior day's information to be retrieved.

30 Day (yield)

Displays the 30-day yield average, as defined by the fund. The 30-day yield average describes past performance of the fund and does not guarantee future results.

Order Information

Vision - Order Information - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
Order Information

CLIENT SERVICES SPECIALIZED PORTFOLIOS

Ticker: CSPAF CUSIP: CUSIP9700 Fund Code: 97

Order Number: 000121498 Dealer/Branch: 0011111/111
NSCC Control Number: CLIENT SERVICES
Transaction: PURCHASE UNDER LOI# C/O DST
Status: Sale KC MO 64105
Tran Code/Suffix: 001/004 MO 64105

Gross: \$5195.00 Confirmation: 12/14/1998
Price: \$10.3900 Processed:
Shares: 500.0000 Trade: 12/14/1998
Trade NAV: \$5195.00 Payment:
Dealer Net: \$5039.15
Discount Category: 02

Income Dividend Amount: \$0.00 Fund Type: Load
Income Dividend Shares: 0.0000 Account: 5000000218
Stock Dividend Shares: 0.0000 Alpha Code: KELLEJOHNP
Capital Gain Amount: \$0.00 LOI Number: 000043203
Capital Gain Shares: 0.0000 Management Code: CS
Short Term Shares: 0.0000

Select a Fund

0000096 - CLIENT SERVICES LOAD FUND
0000093 - CLIENT SERVICES LOAD TEST FUND
0000034 - CLIENT SERVICES MONEY MARKET FUND
0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
0000095 - NO-LOAD FUND

Order Number: OR
NSCC Control Number:
Retrieve:

Return To Menu Help

Copyright © 1998 DST Systems Inc. All Rights Reserved.

Order Information

Account

Displays the shareholder's account number, as identified by the fund company.

Alpha Code

Displays a shareholder's alpha code — a ten-character code used to designate the shareholder. It can be formatted in one of two ways:

- The entire last name (up to ten characters) followed by as much of the first name as will fit 2.(541) the first five letters of the last name, the first four letters of the first name, and the middle initial
- If the first or last name does not have the required number of letters or if a middle initial is not supplied, hyphens (-) will complete the spaces.

Dealer/Branch

Displays the dealer number and branch number used by the fund company for dealer and branch identification.

Dealer Net

For purchases, displays the total net dollar amount due from the dealer or the shareholder. For load funds, displays the gross dollar amount less the dealer commission amount. For redemptions, displays the total net proceeds due to the dealer or the shareholder.

Discount Category

Displays the price break a shareholder will receive on new shares purchased.

Capital Gain Amount

Displays the dollar value of capital gains calculated while an order purchase was pending settlement and for which a check was mailed to the dealer.

Capital Gain Shares

Displays the share quantity for capital gains calculated while an order purchase was pending settlement and for which shares were reinvested into the account once settled.

Confirmation

Displays the month, day, and year on which the trade was processed.

Gross

Displays the gross dollar amount of the purchase or redemption trade.

Income Dividend Amount

Displays the dollar value of dividends calculated while an order purchase was pending settlement and for which a check was mailed to the dealer.

Income Dividend Shares

Displays the share quantity for dividends calculated while an order purchase was pending settlement and for which shares were reinvested into the account once settled.

Order Number

A valid order number or NSCC control number is required. If you do not know the order number or NSCC control number, contact your mutual fund representative.

LOI Number

Displays the letter of intent (LOI) number. An LOI is a contractual agreement between a shareholder and a dealer stating that the shareholder will invest a certain dollar amount within a specific 13-month period for a specified reduction in price.

Management Code

Displays the two-character, alphabetic code used to identify the management company.

NSCC Control Number

A valid order number or NSCC control number is required. If you do not know the order number or NSCC control number, contact your mutual fund representative.

Payment

Displays the effective date of the trade for the transaction. The effective date indicates the date on which the dividend will be credited to the shareholder's account.

Price

Displays the price per share that corresponds to the transaction record.

Processed

Displays either the date the trade was processed to a shareholder's account or the date the trade was deleted from the Fail/Free File.

Shares

Displays the number of shares corresponding to the order.

Short-Term Shares

Displays the share quantity for short-term capital gains calculated while an order purchase was pending settlement and for which shares were reinvested into the account once settled.

Status

Displays the status of the transaction.

Stock Dividend Shares

Displays the share quantity for open trades on the Order Processing File for funds that have experienced a stock split. All trades that are open at the time of the stock split are adjusted accordingly. In the case of a 2-for-1 stock split, a trade for 150.000 shares would be increased by 150.000 shares. The increased number of shares is displayed in this field.

Trade NAV

Displays the net asset value dollar amount of the trade. This dollar amount equals the total number of shares in the trade multiplied by the net asset value (NAV) as of the trade date.

Tran Code/Suffix

Displays the transaction code and suffix. The transaction code and suffix define the specific transaction type for the transaction.

Transaction

Displays the description of the transaction.

Trade

Displays the trade date that the operator assigned to the transaction. This date is the effective date of the transaction and may or may not be equal to the confirmation date. For financial transactions, this is the date used to determine the share price on the day the transaction was effective.

660627 2E952460

Pending Trades

Vision - Pending Trades - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS
Pending Trades

28 MFB FUND - MIRRORS GVT FUND 22

Ticker - MGVTIF CUSIP - 226300101 Fund Code - 28

Account: 8408 DEBBIE R LOPEZ
Tax ID/SSN: 499-70-4453 507 PACIFIC DR
BELTON MO 64012-2935

Trade Description	Trade Date	Shares	Net Amount	Gross Dollars
EXPRESS-TRANSFER REDEMPTION	12/18/1998	0.0000	\$0.00	\$8,813.00

Return To Menu Help

Copyright © 1998 DST Systems Inc. All Rights Reserved

Pending Trades

Account

Displays the shareholder's account number, as identified by the fund company.

Gross Dollars

Displays the total dollar amount of the transaction.

Net Amount

Displays the dollar amount of the transaction less commission.

Return to Account List

Returns to the Account List window.

Shares

Displays the number of shares involved in the transaction.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Trade Description

Displays a description of the transaction.


Trade Date

Displays the date on which the transaction was priced.

Account Summary by Rep/Advisor

3 Vision - Account Summary by Rep / Advisor - Microsoft Internet Explorer

File Edit View Favorites Tools Help

 **GLOBAL PRIME INVESTORS**
Account Summary by Rep / Advisor

Dealer: 452
Rep / Advisor Number: A38

Fund	Number of Accounts	Shares	Balance	% of Balance
SOCIAL INVESTMENT FUND BALANCED - C	12	2,540,0840	\$27,305.29	6.00
NEW VISION SMALL CAP FUND - C	1	364,5300	\$4,571.21	.00
CAPITAL ACCUMULATION - C	13	2,051,9870	\$38,604.25	4.00
SOCIAL INVESTMENT EQUITY - C	1	140,9130	\$3,153.63	.00
WORLD VALUES INTL EQUITY FDC	11	2,489,5040	\$30,063.93	3.00
TAX FREE LIMITED TERM - A	6	7,123,0700	\$76,430.53	5.00
SOCIAL INVESTMENT MONEY MARKET	13	132,735,1900	\$132,735.19	8.00
SOCIAL INVESTMENT FUND BALANCED - A	32	13,249,5450	\$463,204.07	29.00
INDEX FUND A	1	140,1400	\$2,334.07	.00
NEW VISION SMALL CAP FUND - A	2	89,3940	\$8,861.32	1.00
INSURED PLUS	9	330,903,7900	\$330,903.79	21.00
CAPITAL ACCUMULATION - A	19	4,968,8880	\$146,830.64	9.00
SOCIAL INVESTMENT FUND BOND - A	6	2,483,1340	\$41,865.63	3.00
SOCIAL INVESTMENT FD EQUITY A	8	1,730,6280	\$42,120.11	3.00
WORLD VALUES INTL EQUITY FD - A	24	5,575,2320	\$117,079.87	7.00
NATIONAL MUNICIPAL INTER - A	3	867,5890	\$9,517.45	1.00
Totals:	161	506,092,6200	\$1,575,782.10	

Dealer Number: 452
Rep / Advisor Number: A38

Search

Return To Menu Help

Copyright © 1998 DST Systems Inc. All Rights Reserved.

Account Summary by Rep/Advisor

% of Balance

Displays the percentage of the representative/advisor's total managed balance represented by this fund.

Dealer Number

This number identifies the dealer associated with the representative or advisor.

Fund

Displays the fund number.

Balance

Displays the combined dollar value of all account(s).

Number of Accounts

Displays the number of fund accounts managed by the representative/advisor.

Rep/Advisor

This number uniquely identifies the representative/advisor.

Shares

Displays the combined number of shares corresponding to the account(s).

660627 2203/450

Rights of Accumulation

GLOBAL PRIME INVESTORS
Rights of Accumulation

28 MFB FUND - MIRRORS GVT FUND 22

Ticker: MGVTF CUSIP: 226300101 Fund Code: 28

Account: 8408 DEBBIE R LOPEZ
Tax ID/SSN: 499-70-4453 507 PACIFIC DR
BELTON MO 64012-2935

Cumulative Discount Number: 11556

Group Value Amount: \$21,234,495.53

Net ROA Amount: \$21,234,395.53

Open Accounts: 12

Total Accounts: 14

Fund	Valuation	Relationship	
28 MFB FUND - MIRRORS GVT FUND 22	\$21,088,161.02	Cumulative	Account List
65 MFB FUND - MIRRORS DTC FUND 03	\$32,723.08	Cumulative	Account List
67 MFB FUND - MIRRORS DTC FUND 09	\$41,411.82	Associative + Cumulative	Account List
68 MFB FUND - MIRRORS TEF FUND 68	\$72,199.61	Cumulative	Account List

[Return To Menu](#) [Help](#)

Copyright © 1998 DST Systems Inc. All Rights Reserved.

Rights of Accumulation

Account

Displays the shareholder's account number, as identified by the fund company.

Account List

Displays a scroll box of account numbers associated with a fund.

Rights of Accumulation Number

Displays the rights of accumulation (ROA) number. An ROA number links shareholder accounts to provide purchase discount pricing and for group reporting purposes.

Fund

Displays the information for a fund containing accounts associated with the rights of accumulation group number.

Displays the total value of all mutual fund accounts associated with the rights of accumulation group number.

Displays the total dollar value of all cumulative shares on which a commission has been paid.

Displays the total number of open accounts linked for rights of accumulation.

Displays one of the following values:

- **Cumulative:** Indicates that commissions have been paid on 100% of the total valuation of the accounts in the rights of accumulation account group.
- **Associated:** Indicates that commissions have been paid on less than 100% of the total valuation of the accounts in the rights of accumulation account group.

[Returns to the Management Company Menu.](#)

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

Displays the total number of accounts linked for rights of accumulation.

Displays the total value of all accounts in the fund associated with the rights of accumulation group number.

Systematic Agreements

VISION - Systematic Agreements - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS
Systematic Agreements

28 MFB FUND - MIRRORS GVT FUND 22

Ticker - MGVT CUSIP - 226300101 Fund Code - 28

Account: 8408 DEBBIE R LOPEZ
Tax ID/SSN: 499-70-4453 507 PACIFIC DR
BELTON MO 64012-2935

ACH Purchase: \$50.00
Start Date: 05/28/1998
Stop Date:
Processing Date(s): 30
Fiduciary Purchase Type: N/A
Confirm Frequency: Always

Month	Processed	Contribution Year	Month	Processed	Contribution Year
January	Yes	N/A	July	Yes	N/A
February	Yes	N/A	August	Yes	N/A
March	Yes	N/A	September	Yes	N/A
April	Yes	N/A	October	Yes	N/A
May	Yes	N/A	November	Yes	N/A
June	Yes	N/A	December	Yes	N/A

Return To Menu Help

Copyright © 1998 DST Systems Inc. All Rights Reserved

Systematic Agreements

Account

Displays the shareholder's account number, as identified by the fund company.

Check

Displays the dollar amount of the systematic agreement.

Confirm Frequency

Displays how often statements are sent to confirm systematic purchases into the account.

Fiduciary Purchase Type

Displays the specified purchase contributor for all systematic purchases into a fiduciary account. The contributors are:

- employee = employee contribution
- employer = employer contribution

Month — Processed — Contribution Year

Displays **Y** (yes), **N** (no), or **D** (defer) for each month of the year, indicating whether the account is set up for monthly purchases into the account.

Processing Date(s)

Displays the day(s) of the month on which a systematic agreement will be processed.

Return to Menu

Returns to the Management Company Menu.

Start Date

Displays the month, date, and year on which the systematic agreement was started.

Stop Date

Displays the day, month, and year on which the systematic agreement will end.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

660627 22932450

Systematic Exchange

GLOBAL PRIME INVESTORS
Systematic Exchange

28 MFB FUND - MIRRORS GVT FUND 22

Ticker: MGVI CUSIP: 226300101 Fund Code: 28

Account: 8408 DEBBIE R LOPEZ
Tax ID/SSN: 499-70-4453 507 PACIFIC DR
BELTON MO 64012-2935

Exchange To Fund: 28 MFB FUND - MIRRORS GVT FUND 22
Exchange To Account: 8741

Exchange Option: Dollar Amount	Month	Processed	Contribution Year
Exchange Value: \$50.00	January	Yes	N/A
Processing Date(s): 15-30	February	Yes	N/A
Deduct Fee: No	March	Yes	N/A
Payment Type:	April	Yes	N/A
Discount Category: 99	May	Yes	
Established Date: 05/28/1998	June	Yes	
Fiduciary Redemption Type: Not Applicable	July	Yes	
	August	Yes	
	September	Yes	
	October	Yes	
	November	Yes	
	December	Yes	

Return To Menu Help

Copyright © 1998 DST Systems Inc. All Rights Reserved

Systematic Exchange

Account

Displays the shareholder's account number, as identified by the fund company.

Deduct Fee

Displays "Yes" if a fee is charged for the exchange. Displays "No" if a no fee is charged.

Discount Category

Displays the price break a shareholder will receive on new shares purchased.

Established Date

Displays the date on which the systematic exchange plan was established.

Exchange Option

Displays the type of exchange. The exchange may be:

- dollar amount
 - rate
 - share count
 - declining balance
 - life expectancy float
 - life expectancy fixed
-

Exchange To Account

Displays the account number to which the exchange will be processed.

Exchange To Fund

Displays the fund information to which the exchange will be processed.

Exchange Value

Displays the amount of the exchange. This amount may be displayed as a dollar amount, percent, share amount, or declining balance amount, depending on the exchange option.

Fiduciary Redemption Type

Displays the specified purchase contributor for all exchange relationships from a non-fiduciary account to a fiduciary account. The purchase contributor may be:

- employee
 - employer
 - not applicable
-

Month — Processed — Contribution Year

Displays "Yes," "No," or "Defer" for each month of the year, indicating whether the account is set up for monthly exchanges out of the account.

Payment Type

Displays the type of payment for a CDSC fund. Payment may be:

- gross
 - net
 - no sales charge
-

Processing Date(s)

Displays the day of the month on which the exchange will be processed.

Return to Menu

Returns to the Management Company Menu.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

05475637 123099
660627 22957460

Index

A

about vision mutual fund gateway 7
access
 dealer level 17
 no security 18
 tax ID/ SSN level access 18
access filters 17
accessing vision 139
accessing vision through the funds web
 site 139
Account History 149
Account Information 151
account linking 17
account maintenance history 25
Account Maintenance History 157
account search and summary features
 19
Account Search by Dealer Account 159
Account Search by Fund and Account
 161
Account Search by Shareholder Name
 164
Account Search by Tax ID/SSN 165
Account Summary by Rep/Advisor 197
Account Year-End Summary 167
alternative addresses for duplicate
 statements and distributions 25
Alternative Addresses for Statements
 and Distributions 174
automatic dividend reinvest to another
 account 25
Average Cost Information 175

B

Bank Instruction Information 178
broker/dealer information 25

C

CDSC hypothetical information 26
certificate information 25
Certificate Information 179
change password 25

Contingent Deferred Sales Charge
 (CDSC) Hypothetical Calculation
 181
contingent deferred sales charge
 hypothetical information 26

D

data encryption 15
dealer account number search (BIN) 26
dealer account search (BIN) 19
Dealer Information 183
dealer level access 17
Dividend Reinvestment Information
 186

E

end-user applications 11
Error Processing 32

F

fiduciary/beneficiary/contribution
 information 26
fund account number search 26
fund distribution information 26
Fund Distributions 188
fund group 17
Fund Information 190
fund list 26
Fund List 108
funds web site 139

G

general fund information 26

M

management company 17
management company information 26
Management Company Information
 110
management company listing 27
Management Company Menu 143
messages 15

N

name search 27

O

operator ID 17
order information 27
Order Information 192

P

password 11
pending trades 27
Pending Transaction Information 196
pre-authorized, automated purchases
and redemption's 27

R

representative search 22
representative summary 22
Representative Summary 121
representative/advisor number account
search 27
representative/advisor number account
summary 28
resolution 8
rights of accumulation 28
Rights of Accumulation 199

S

searches
dealer account (BIN) 19

representative search 22
representative summary 22
shareowner name 20
tax ID number 20
security 11, 17
data encryption 15
untrusted end-user applications 11
security, stateless 11, 15
shareowner account history 28
shareowner account information 28
shareowner bank information 28
shareowner name search 20
Systematic Agreements 201
systematic exchange 28
Systematic Exchange 203

T

TA2000 7
tax ID number search 20
tax ID/social security number search 29

U

untrusted end-user applications 11
user ID 11

V

VISION Header 32

Y

year end and tax reporting information
29

660422 2234450

PRINT OF DRAWINGS
AS ORIGINALLY FILED

Vision

Vision Mutual Fund Gateway®
External Fund Technical Guide

Transactions

December 10, 1999

DST
SYSTEMS

© 1999, DST Systems, Inc. All rights reserved.

Vision Tranactions External Fund Technical Guide
December 10, 1999

Printed in U.S.A.

Contents

Chapter 1: Transaction Function Descriptions	5
Overview	5
Chapter 2: Message Definitions	9
Key Descriptions.....	9
Error Processing	10
Vision Header.....	10
Purchase (ACH).....	12
Redemption (Check).....	14
Redemption (ACH).....	17
Exchange (New)	21
Exchange (Existing).....	25
Chapter 3: Field Descriptions and Definitions	31
Purchase	31
Purchase Verification.....	32
Purchase Confirmation.....	33
Redemption.....	34
Redemption Verification.....	36
Redemption Confirmation	37
Exchange	38
Exchange Verification	40
Exchange Confirmation.....	41
Index	43

660627 2E232460

**PRINT OF DRAWINGS
AS ORIGINALLY FILED**

560227 223400

Chapter 1:

Transaction Function Descriptions

Overview

This chapter provides a general overview of the transaction types available through the Vision Mutual Fund Gateway (Web site) interface. For detailed information about connectivity and security, refer to chapters 1, 2, and 3 of the Inquiry External Fund Technical Manual.

The following transaction types are currently available through Vision:

- subsequent purchase transactions into an existing account through ACH (with pre-established bank instructions)
- redemptions through ACH (with pre-established bank instructions) or check to the address of record
- exchanges between existing accounts within the same fund family or from existing accounts into new accounts within the same fund family

Each transactions type is a fund management company level option. In addition, each operator ID must be coded for each transaction type before access is allowed. Transaction capability can be turned on or off at the Vision ID level. This gives the fund considerable flexibility, because individual transaction types can be supported through Vision, but only authorized for specific operators.

Transaction Options

Purchase (ACH)

The purchase function is only available with Automated Clearinghouse (ACH) settlement. The purchase function enables purchases of additional shares into an existing account through the movement of money from a shareholders bank account to an existing mutual fund account. The operator simply enters the dollar amount of the subsequent investment and verifies the amount when prompted. Once verified, the transaction is confirmed and a transaction reference number is provided for follow-up purposes, if needed. Purchase transactions for existing accounts (subsequent purchases) are only supported if the shareholder has sufficient bank information.

Note: All of the transaction functions, including purchase, are displayed on the Shareholder Account Information window.

TA2000 uses many edits to determine the eligibility of an account for a transaction type. An "edit" is a process to verify certain information before proceeding with the transaction. Some of the guidelines that should be followed by non-TA2000 include:

- The ACH account option must be activated.
- Transactions are allowed only on accounts with an NSCC matrix level of 0 (non-networked), unless overridden by a fund.
- No trades will be processed on accounts with stop mail, stop purchase, stop transfer, house account, or escheatment account status.

If there are any pending transactions (transactions that have not gone through the nightly cycle and/or been posted to a shareholder's account) a "pending transaction" link appears on the initial purchase window. The pending transaction may have been submitted through Vision or any other method available to an intermediary. The operator can review the pending transaction before submitting the new transaction.

Redemption - Check or ACH

The redemption function is available for both check (to address of record) and ACH settlement. The redemption function makes it possible to sell shares and deposit the proceeds in the shareholder's bank account, or mail them to the address of record. If an account has existing ACH instructions, there are two settlement options (ACH or check) to choose from. If an account does not have ACH instructions, the option will not appear and check settlement will be the default. Once verified and confirmed, a reference number for follow-up is provided.

For informational purposes only, the TA2000 system uses many edits to determine the eligibility of an account for a transaction type. Some of the guidelines that should be followed by non-TA2000 include:

- An account must be non-fiduciary.
- An account must be NSCC matrix level 0 (non-networked), unless overridden by the fund.
- The ACH account option must be activated to settle redemption proceeds via ACH.
- No redemptions are allowed in accounts with address of record changes within a fund specified period.
- No trades will be processed on accounts with a stop mail, stop transfer, house account, or escheatment account status.
- Shares recently purchased may not be available for redemptions. For most DST clients, these "uncollected shares" cannot be redeemed for 15 days after the purchase date.

Exchange Transactions

The exchange function enables the movement of dollars or shares to an existing or new account. Full or partial exchanges are allowed. The "to" funds are defined

in a drop-down list based upon the "from" fund/account. Exchanges submitted prior to the funds daily cut-off time will be as of that day's business. Once verified and confirmed, a reference number is displayed for follow-up if necessary. If the exchange is to a new account, an account number will be provided during the Internet session and displayed on the confirmation page.

Exchange to Existing Account

An exchange to existing account is the movement of money from one fund to another fund in previously established accounts within the same fund family. Edits should be performed to assure that the "to" and "from" accounts have the same legal ownership, shareholder registration, and that exchanges are not taking place between different types of accounts (fiduciary to non-fiduciary).

Exchange to New Account

An exchange to new account is the movement of money from a previously established account in one fund to a new account in another fund within the same fund family. Establishing the new account entails copying all of the registration and bank information from the "from" account.

TA2000 uses edits to determine eligibility of an account for a transaction type. Some of the guidelines that should be followed by non-TA2000 include:

- An account must be NSCC matrix level 0 (non-networked), unless overridden by the fund.
- The exchange account option must be activated.
- No trades will be processed on accounts with a stop mail, stop transfer, house account, or escheatment account status.
- 'From' and existing 'to' social security (SSN)/tax ID (TIN) must match.
- 'From' and existing 'to' bank account must match.
- 'From' and existing 'to' registration must match.

Message Definitions

Key Descriptions

Field Name/Term	Description
Transaction Fixed Request Data	Fixed length request data.
Transaction Fixed Response Data	Fixed length response data.
Transaction Variable Repeatable Response Data	Variable length response data, repeatable based on occurrences.
Field Name	Indicates the name of the field.
Field Type	<p>Indicates whether the field is alpha, numeric, or character format. All data is in EBCDIC or ASCII.</p> <p><u>ALPHA</u> -Values are A - Z, a - z. Values are left justified and the padding is spaces.</p> <p><u>EBCDIC NUM</u> – Values are 0-9 in Zone Decimal Format and padded with zeros. All decimal points are implied. These values are right justified.</p> <p>Example: The positive account balance (13.2) value of \$1,289.23 is sent in hexadecimal as ‘F0F0F0F0F0F0F0F0F0F1F2F8F9F2F3’ or ‘F0F0F0F0F0F0F0F0F0F1F2F8F9F2C3’. If the value is negative, it is sent as ‘F0F0F0F0F0F0F0F0F0FFF8F9F2D3’.</p> <p><u>CHAR</u> -Values are A - Z, a-z, 0 - 9,special characters. Values are left justified and the padding is spaces.</p>
<u>Mandatory</u>	Indicates the field is mandatory. Mandatory is defined as required valid data.
<u>Optional</u>	Indicates the field is optional. Optional is defined as data that is not required. If the optional field will be supported, valid data must be entered. If the optional field will not be

Field Name/Term	Description
	supported, <i>low values</i> or <i>spaces</i> will be used to indicate <i>not available</i> .
Values	Indicates the available field values.
Low Values	Hexadecimal '00' to be sent for numeric values only.
Spaces	Spaces to be sent for character text values only.
Description	Provides a brief description of the field.

Error Processing

Included at the end of each message definition is a table of error codes and corresponding error messages. By using these standard error codes, messages will be consistent for the Vision product between all fund companies. These error codes are standard and therefore generic. It is recommended that fund companies keep a log of the errors that occur on their system, including specific error details to be used for problem research.

When an error occurs on a fund company's system, the following processing should occur:

- The Return Code field in the header should be set to "0010".
- The Error Code field in the header should be set to the appropriate error code as detailed at the end of each message definition.

Vision Header

Required

The Vision header record is sent at the beginning of the Request data stream and will be returned at the beginning of the Response data stream. For example, with Account History, the Vision Header + Account History Request will be sent to the fund company. On the return from the fund company, the Vision Header + Account History Response will be returned. When the fund company returns the header information the following fields need to be updated:

- Packet Length
- Data Length
- Return Code
- Error Code (only if error occurs)
- Error Data (optional)

Columns	Field Name	Field Type	M/O	Values	Description
1-4	Project ID	Char 4	M		Project identifier used to identify the layout. Assigned by DST.

**PRINT OF DRAWINGS
AS ORIGINALLY FILED**

VISION TRANSACTION EXCHANGE and Manual

Message Definitions

Columns	Field Name	Field Type	M/O	Values	Description
5-7	Header Version	Num 3		Send spaces or null values.	Version of Header. For future use.
8-17	Packet Length	Num 10	M		Total length of data stream including the header
18-20	Data Version	Num 3		Send spaces or null values.	Version of the Data. For future use.
21-30	Data Length	Num 10	M		Length of data area, not including header (0 if no data).
31-47	Transaction ID	Char 17	M		Transaction identifier. For example, PURACH@VISION. This format is <i>not</i> required. If an alternate transaction ID format is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.
48-57	Source System ID	Char 10		Send spaces.	Indicates the source of the message. This value is used for information purposes. DST will assign these values to the message originators. For future use.
58-67	Source Tag	Num 10	M	Operator defined.	This field can be used by the source application to attach an "identification" tag to individual transactions. This value will be returned in the response header.
68-77	Operator ID	Char 10	M	Vision or External Fund ID.	The Operator ID (Vision) used to log on.
78-85	Password	Char 8	M	Send spaces.	
86-89	Return Code	Num 4	M	0000-Normal 0010-Error	Return Code.
90-97	Error Code	Char 8	O		An error code supplied by the fund that can be used as a reference if the Vision operator calls the fund.
98-337	Filler	Char 240		Send spaces.	For future use.

Purchase (ACH)

Example on page 81

Optional

This facility enables the processing of fiduciary and non-fiduciary purchases to existing accounts by Automated Clearing House (ACH).

Transaction ID: PURACH@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		Unique identifier for a shareowner account within a mutual fund.
34-48	Trade Amount	Num 15	M	13.2	Dollar amount of the transaction.
49	Fiduciary Year Code	Alpha 1	M	C= Current P= Previous	A value of blank indicates a non-fiduciary account. This information will only be displayed on the Vision Web site between January 1 and the IRS tax filing deadline.
50	Process Request Code	Alpha 1	M	V = Verify C = Confirm	

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-7	Batch Number	Num 7	O		Transaction processing group number.
8-24	Bank Account Number	Char 17	M		Holds the bank account number of the shareholder's bank. This account is the one to which funds are wired in the case of an expedited redemption or from which pre-authorized check

Columns	Field Name	Field Type	M/O	Values	Description
					payments are drawn.
25-37	Maximum Amount	Num 13	M	11.2	The maximum amount allowed for ACH purchases. This amount can be listed by trade or by date. This value is not displayed, but is used by DST to compare to the requested amount. If necessary, an error will be displayed.
38-50	Minimum Amount	Num 13	M	11.2	The minimum amount allowed for ACH purchases. This value is not displayed, but is used by DST to compare to the requested amount. If necessary, an error will be displayed.
51-53	Occurrences	Num 3	M	000-010	Number of times variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-4	Warning Location Code	Alpha 4	M	PRCH	The location of the occurrence.
5-12	Warning Message Code	Char 8	M		The message code associated with the occurrence.

Warning Messages

Warning Code	Warning Message	Description
00000004	Possible duplicate records exist on pending trades file.	Warning message to indicate there are two trades with the same dollar amount or share amount and transaction type on the pending trades file.
00000005	Transaction entered after cutoff time. Trade will receive next business day trade date.	This warning will be sent when the current time is greater than the cutoff time.

Error Messages

Error Code	Error Message	Description
PURH0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.

Error Code	Error Message	Description
PURH0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button to return to the previous page.	Files unavailable for read access due to system updates or file outages.
PURH0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
PURH0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Redemption (Check)

Example on page 84

Optional

This facility enables the processing of redemptions in check form from non-fiduciary mutual fund accounts.

Transaction ID: REDCHECK@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		Unique identifier for a shareowner account within a mutual fund.

Columns	Field Name	Field Type	M/O	Values	Description
34	Payment Type	Alpha 1	M	A = ACH C = Check	Indicates how the payment will be allocated. For redemptions by check, this field will always be "C"
35-49	Trade Amount	Num 15	O	13.2	Dollar amount of the transaction
50-64	Trade Shares	Num 15	O	11.4	Share amount of the transaction
65	Redeem Full	Alpha 1	M	Y/N	Indicates if this transaction is a full redemption.
66	Payment Code	Alpha 1	M	G = Gross N = Net	Indicates how the sales charge will be taken from the shareowner.
67	Process Request Code	Alpha 1	M	V = Verify C = Confirm	

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-7	Batch Number	Num 7	O		Transaction processing group number.
8-24	Filler	Char 17	M	Send spaces.	For future use.
25-37	Maximum Amount	Num 13	M	11.2	The maximum amount allowed for Check Redemptions. This amount can be listed by either trade or date. This value is not displayed, but is used by DST to compare to the requested amount. If necessary, an error will be displayed.
38-50	Minimum Amount	Num 13	M	11.2	The minimum amount allowed for Check Redemptions. This value is not displayed, but is used by DST to compare to the requested amount. If necessary, an error will be displayed.
51-53	Occurrences	Num 3	M	000-010	Number of times variable response repeats.

660637 2352460

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-4	Warning Location Code	Char 4	M	RDMP	The location of the occurrence.
5-12	Warning Message Code	Char 8	M		The message code associated with the occurrence.

Warning Messages

Warning Code	Warning Message	Description
00000004	Possible duplicate records exist on pending trades file.	Warning message to indicate there are two trades with the same trade date, dollar amount and transaction type.
00000005	Transaction entered after cutoff time. Trade will receive next business day trade date.	
00000006	Redemption amount will be reduced by amount of escrow shares.	
00000007	Outstanding orders exist for this account.	Informational message that indicates that there are Confirmed Purchases or Confirmed Redemption orders outstanding on this account.

Error Messages

Error Code	Error Message	Description
RDMP0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
RDMP0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button to return to the previous page.	Files unavailable for read access due to system updates or file outages.
RDMP0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
RDMP0004	The Redemption request exceeds the collected share balance and would require the liquidation of uncollected shares. Redemptions must only contain shares that are available for redemption. Please click	Redemption shares are greater than available collected shares. This error is returned when a total redemption is requested.

Error Code	Error Message	Description
	the Back button to return to the previous page.	
RDMP0005	The account does not have enough collected shares to complete the requested transaction. Please click the Back button to return to the previous page.	Redemption shares are greater than available collected shares. This error is returned when a partial redemption is requested.
RDMP0006	This account has a pending "All Shares" transaction. Additional Redemptions are not permitted until this transaction has been processed. Please click the Back button to return to the previous page.	Account has an all shares redemption waiting to be processed.
RDMP0007	The Redemption amount exceeds the available account balance. See the Shareholder Account Information page for details. Please click the Back button to return to the previous page.	Redemption shares are greater than available shares.
RDMP0008	The transaction amount requested contains escrow shares. Redemption must only contain shares that are available for redemption. Please click the Back button to return to the previous page.	Redemption shares are greater than available shares.
RDMP0009	The transaction amount requested contains certified shares. Redemptions must only contain shares that are available redemption. Please click the Back button to return to the previous page.	Redemption shares are greater than available shares.
RDMP0010	Redemptions by check are not allowed on accounts with recent (defined by the fund) registration changes. Please click the Back button to return to the previous page.	Redemption is not allowed on shareowner registrations that have changed within a certain time frame.
RDMP0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Redemption (ACH)

Example on pag84

Optional

This facility enables the processing of ACH redemptions from non-fiduciary mutual fund accounts.

Transaction ID: REDACH@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		Unique identifier for a shareowner account within a mutual fund.
34	Payment Type	Alpha 1	M	A = ACH C = Check	Indicates how the payment will be allocated. For redemptions paid by ACH, this field is always "A".
35-49	Trade Amount	Num 15	O	13.2	Dollar amount of the transaction.
50-64	Trade Shares	Num 15	O	11.4	Share amount of the transaction.
65	Redeem Full	Alpha 1	M	Y/N	Indicates if this transaction is a full redemption.
66	Payment Code	Alpha 1	M	G = Gross N = Net	Indicates how the sales charge will be taken from the shareowner.
67	Process Request Code	Alpha 1	M	V = Verify C = Confirm	

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-7	Batch Number	Num 7	O		Transaction processing group number.
8-24	Bank Account Number	Char 17	M		Holds the bank account number of the shareholder's bank. This account is the one to which funds are wired in the case of an expedited redemption or from which pre-authorized check payments are drawn.
25-37	Maximum Amount	Num 13	M	11.2	The maximum amount allowed for ACH redemptions. This value is not displayed, but is used by DST to compare to the requested

Columns	Field Name	Field Type	M/O	Values	Description
					amount. If necessary, an error will be displayed.
38-50	Minimum Amount	Num 13	M	11.2	The minimum amount allowed for ACH redemptions. This value is not displayed, but is used by DST to compare to the requested amount. If necessary, an error will be displayed.
51-53	Occurrences	Num 3	M	000-010	Number of times variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-4	Warning Location Code	Alpha 4	M	RDMP	The location of the occurrence.
5-12	Warning Message Code	Char 8	M		The message code associated with the occurrence.

Warning Messages

Warning Code	Warning Message	Description
00000004	Possible duplicate records exist on pending trades file.	Warning message to indicate there are two trades with the same dollar amount or share amount and transaction type on the pending trades file. This error is returned when a total redemption is requested.
00000005	Transaction entered after cutoff time. Trade will receive next business day trade date.	This warning will be sent when the current time is greater than the cutoff time. This error is returned when a partial redemption is requested.
00000007	Outstanding orders exist for this account.	Informational message that indicates that there are confirmed purchases or confirmed redemption orders outstanding on this account.

Error Messages

Error Code	Error Message	Description
RDMP0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.

2025 RELEASE UNDER E.O. 14176

Error Code	Error Message	Description
RDMP0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
RDMP0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
RDMP0004	The Redemption request exceeds the collected share balance and would require the liquidation of uncollected shares. Redemptions must only contain shares that are available for redemption. Please click the Back button to return to the previous page.	Redemption shares are greater than available collected shares.
RDMP0005	The account does not have enough collected shares to complete the requested transaction. Please click the Back button to return to the previous page.	Redemption shares are greater than available collected shares.
RDMP0006	This account has a pending "All Shares" transaction. Additional Redemptions are not permitted until this transaction has been processed. Please click the Back button to return to the previous page.	Account has an all shares redemption waiting to be processed.
RDMP0007	The Redemption amount exceeds the available account balance. See the Shareholder Account Information page for details. Please click the Back button to return to the previous page.	Redemption shares are greater than available shares.
RDMP0008	The transaction amount requested contains escrow shares. Redemption must only contain shares that are available for redemption. Please click the Back	Redemption shares are greater than available shares.

Error Code	Error Message	Description
	button to return to the previous page.	
RDMP0009	The transaction amount requested contains certified shares. Redemptions must only contain shares that are available redemption. Please click the Back button to return to the previous page.	Redemption shares are greater than available shares.
RDMP0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Exchange (New)

Example on page 88

Optional

This facility enables the processing of an exchange from a fiduciary or a non-fiduciary mutual fund account into a new mutual fund account.

Transaction ID: EXCHNEW@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	"From" Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
21-33	"From" Account Number	Char 20	M		Unique identifier for a shareowner account within a mutual fund.
34	Process Request Code	Alpha 1	M	V = Verify C = Confirm	
35-47	"To" Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character

Columns	Field Name	Field Type	M/O	Values	Description
					CUSIP, a one-character check digit (0), and a one-character test code (P).
48-67	"To" Account Number	Char 20	O		Unique identifier for a shareowner account within a mutual fund. When exchanging to a new account, this field is always spaces.
68-82	Trade Amount	Char 15	O	13.2	Dollar amount of the transaction.
83-97	Share Count	Char 15	O	11.4	Share amount of the transaction.
98	Full Exchange Code	Alpha 1	O	Y/N	Indicates if this transaction is a full exchange.
99	Filler	Char 1	O	Send spaces.	For future use.
100	New ROA Linking	Alpha 1	M	Y/N	Indicates whether the fund allows automatic linking of new accounts to new ROA numbers. This field is populated from "Allow Rights of Accumulation Linking to New Accounts" in MGMTINFO@VISION.
101	Existing ROA Linking	Alpha 1	M	Y/N	Indicates whether the fund allows automatic linking of existing accounts to new ROA numbers. This field is populated from "Allow Rights of Accumulation Linking to Existing Accounts" in MGMTINFO@VISION.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-7	Batch Number	Num 7	O		Transaction processing group number.
8-20	Return "To" Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
21-40	Return "To" Account Number	Char 20	M		Unique identifier for a shareowner account within a mutual fund.
41-53	Maximum	Num 13	M	11.2	The maximum amount allowed for

6504321 26332450

Columns	Field Name	Field Type	M/O	Values	Description
	Amount				exchanges. This value is not displayed, but is used by DST to compare to the requested amount. If necessary, an error will be displayed.
54-66	Minimum Amount	Num 13	M	11.2	The minimum amount allowed for exchanges. This value is not displayed, but is used by DST to compare to the requested amount. If necessary, an error will be displayed.
67-79	Filler	Char 13	M	Send spaces.	For future use.
80-82	Occurrences	Num 3	M	000-010	Number of times variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-4	Warning Location Code	Alpha 4	M	EXCH	The location of the occurrence.
5-12	Warning Message Code	Char 8	M		The message code associated with the occurrence.

Warning Messages

Warning Code	Warning Message	Description
00000004	Possible duplicate records exist on pending trades file.	Warning message to indicate there are two trades with the same dollar amount or share amount and transaction type on the pending trades file.
00000005	Transaction entered after cutoff time. Trade will receive next business day trade date.	This warning will be sent when the current time is greater than the cutoff time.
00000006	Redemption amount will be reduced by amount of escrow shares.	This warning will be sent when a full exchange is being done and the from account has escrow shares attached.
00000007	Outstanding orders exist for this account.	Informational message that indicates that there are confirmed purchases or confirmed redemption orders outstanding on this account.
00000015	Exchange transaction may be assessed a fee.	Informational message that indicates that an exchange from a rear-end load fund may be assessed an exchange fee.

650627 22352460

Error Messages

Error Code	Error Message	Description
EXCH0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
EXCH0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button to return to the previous page.	Files unavailable for read access due to system updates or file outages.
EXCH0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
EXCH0004	The Redemption amount requested exceeds the available account balance. See the Shareholder Account Information page for details. Please click the Back button to return to the previous page.	Exchange redemption amount exceeds the account balance.
EXCH0005	The account does not have enough collected shares to complete the requested transaction. Please click the Back button to return to the previous page.	Insufficient collected shares for the exchange redemption.
EXCH0006	The transaction amount requested contains certified shares. Redemptions must only contain shares that are available for redemption. Please click the Back button to return to the previous page.	Exchange redemption amount is greater than the available shares,
EXCH0007	This account has a pending "All Shares" transaction.	Account has an all shares redemption waiting to be processed.

6503227 26352450

Error Code	Error Message	Description
	Additional Redemptions are not permitted until this transaction has been processed. Please click the Back button to return to the previous page.	
EXCH0012	Account exists in the "Exchange To" fund with the same Account Number as the "Exchange From" account. Please click the Back button to return to the previous page.	
EXCH0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Exchange (Existing)

Example on page 88

Optional

This facility enables the processing of exchanges from fiduciary and non-fiduciary mutual fund accounts into other existing mutual fund accounts.

Transaction ID: EXCH@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	"From" Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	"From" Account Number	Char 20	M		Unique identifier for a shareowner account within a mutual fund.
34	Process Request Code	Alpha 1	M	V = Verify C = Confirm	

Transaction Fixed Response Data

December 10, 1999

Columns	Field Name	Field Type	M/O	Values	Description
68-79	Filler	Char 13		Send spaces.	For future use.
80-82	Occurrences	Num 3		000-010	Number of times variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-4	Warning Location Code	Alpha 4	M	EXCH	The location of the occurrence.
5-12	Warning Message Code	Char 8	M		The message code associated with the occurrence.

Warning Messages

Warning Code	Warning Message	Description
00000004	Possible duplicate records exist on pending trades file.	Warning message to indicate there are two trades with the same dollar amount or share amount and transaction type on the pending trades file.
00000005	Transaction entered after cutoff time. Trade will receive next business day trade date.	This warning will be sent when the current time is greater than the cutoff time.
00000006	Redemption amount will be reduced by amount of escrow shares.	This warning will be sent when a full exchange is being done and the from account has escrow shares attached.
00000007	Outstanding orders exist for this account.	Informational message that indicates that there are confirmed purchases or confirmed redemption orders outstanding on this account.
00000015	Exchange transaction may be assessed a fee.	Informational message that indicates that an exchange from a rear-end load fund maybe assessed an exchange fee.

Error Messages

Error Code	Error Message	Description
EXCH0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.

650227 2832460

Error Code	Error Message	Description
EXCH0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button to return to the previous page.	Files unavailable for read access due to system updates or file outages.
EXCH0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
EXCH0004	The Redemption amount requested exceeds the available account balance. See the Shareholder Account Information page for details. Please click the Back button to return to the previous page.	Exchange redemption amount exceeds the account balance.
EXCH0005	The account does not have enough collected shares to complete the requested transaction. Please click the Back button to return to the previous page.	Insufficient collected shares for the exchange redemption.
EXCH0006	The transaction amount requested contains certified shares. Redemptions must only contain shares that are available for redemption. Please click the Back button to return to the previous page.	Exchange redemption amount is greater than the available shares.
EXCH0007	This account has a pending "All Shares" transaction. Additional Redemptions are not permitted until this transaction has been processed. Please click the Back button to return to the previous page.	Account has an all shares redemption waiting to be processed.
EXCH0008	Exchanges are not allowed when the "Exchange To" account registration doesn't match the "Exchange From" account registration. Please click the Back button to return to the previous page.	Registration Lines of "from" and "to" accounts do not match.

660627 2E932460

Error Code	Error Message	Description
EXCH0009	Exchanges are not allowed between accounts that do not have matching account types.	Account types of "from" and "to" accounts do not match.
EXCH0010	The exchange could not be processed because the SSN/Tax Id on the "Exchange From" account and the "Exchange To" account do not match. Please click the Back button to return to the previous page.	Social Security numbers of "from" and "to" accounts do not match.
EXCH0011	Exchanges are not allowed between accounts that do not have matching Bank Routing Numbers.	Bank routing numbers of "from" and "to" accounts do not match.
EXCH0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

660627 12/23/99

Chapter 3:

Field Descriptions and Definitions

Purchase

The screenshot shows a Netscape browser window titled "Vision - Purchase - Netscape". The main heading is "GLOBAL PRIME INVESTORS FUNDS" with a subheading "Purchase". Below this is a form for purchasing shares of the "CLIENT SERVICES LOAD FUND". The form includes fields for Ticker (CSLD), CUSIP (531545101), and Fund Code (96). It also displays account information: Account 1067, Tax ID/SSN 497-82-6494, and the shareholder's name and address: ANDREW LEE SMITH, 801 E ARMOUR APT 604, KANSAS CITY MO 64109-2348. The form shows the Total Shares (7,475.3900) and Account Value (\$415,706.44). A section for entering the Dollar Amount is present, with a "Continue" button below it. A "Help" link is also visible. The footer of the form states "Copyright © 1999 DST Systems, Inc. All Rights Reserved." The browser's status bar at the bottom indicates "Document Done".

Purchase window

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a social security number or an employer identification number.

Total Shares

Displays the current share balance of the account.

Account Value

Displays the dollar value of the account. Account value is determined by multiplying the sum of the issued and non-issued shares by the net asset value.

Dollar Amount

Enter the dollar amount of the purchase. A decimal point is not required on whole dollar amounts.

Purchase Verification

VISION - Purchase - Netscape
File Edit View Go Window Help

GLOBAL PRIME INVESTORS FUNDS
Purchase

CLIENT SERVICES LOAD FUND

Ticker - CSLD	CUSIP - 531545101	Fund Code - 96
---------------	-------------------	----------------

Account: 1067
Tax ID/SSN: 497-82-6494

ANDREW LEE SMITH
801 E ARMOUR APT 604
KANSAS CITY MO 64109-2348

Purchase Verification

You have requested to purchase \$5,000.00 worth of shares in CLIENT SERVICES LOAD FUND, account number 1067. The fund company has Automated Clearing House (ACH) processing rules which may affect this transactions trade date. The fund company reserves the right to reject this transaction. If this transaction is approved by the fund company, the amount will be withdrawn from the bank account of record. If you do not want to purchase these shares, select CANCEL.

[Return To Shareholder Account Information Help](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Document Done

Purchase Verification window

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a social security number or an employer identification number.

Purchase Verification Detail

Displays the details associated with the purchase transaction for verification. The details include dollar amount of the purchase, fund, and account. The purchase transaction can be confirmed or canceled on this page.

Return to Shareholder Account Information

Returns to the main Shareholder Account Information window.

Purchase Confirmation

VISION - Purchase - Netscape
File Edit View Go Window Help

GLOBAL PRIME INVESTORS FUNDS
Purchase

Ticker - CSLD	CLIENT SERVICES LOAD FUND CUSIP - 531545101	Fund Code - 96
---------------	--	----------------

Account - 1067 Tax ID/SSN: 497-82-6494	ANDREW LEE SMITH 801 E ARMOUR APT 604 KANSAS CITY MO 64109-2348
---	---

Purchase Confirmation
You have approved a request to buy \$5,000.00 worth of shares in the CLIENT SERVICES LOAD FUND, account number 1067. The fund company has Automated Clearing House (ACH) processing rules which may affect this transaction's trade date. The fund company reserves the right to reject this transaction. If this transaction is approved by the fund company, the amount will be withdrawn from the bank account 12354. If the shareholder does not receive a written confirmation of this transaction, please contact the fund company at (316) 843-6712.

The reference number for this transaction is 0000704.

[Return To Shareholder Account Information](#) - [Help](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Document Done

Purchase Confirmation window

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a social security number or an employer identification number.

Purchase Confirmation

Confirms the details associated with the purchase transaction. The details include dollar amount of the purchase, fund, and account. The fund's phone number and

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a social security number or an employer identification number.

Total Shares

Displays the current share balance of the account.

Account Value

Displays the dollar value of the account. Account value is determined by multiplying the sum of the issued and non-issued shares by the net asset value.

Dollar Amount

Enter the dollar amount of the redemption. Enter whole dollar amounts only. A decimal point is not necessary. This field is valid only if the Dollar Amount button is selected.

Number of Shares

Enter the number of whole shares to be redeemed. This field is valid only if the Number of Shares button is selected.

All Shares

Enables all shares to be redeemed from the account.

Gross (displayed only if a CDSC account)

When selected, indicates that CDSC fees will be subtracted from the dollar/share amount redeemed. Remaining balanced will be received.

Net (displayed only if a CDSC account)

When selected, indicates that the CDSC fees will be added to the dollar/share amount redeemed.

By Check Mailed to the Above Address (displayed only if account contains bank account information)

When selected, indicates that a check for the redemption amount will be mailed to the address displayed at the top of the window.

By Electronic Deposit to the Bank Account of Record (radio button—displayed only if account contains bank account information)

When selected, indicates that the redemption amount will be automatically deposited to the bank account of record. (To review bank account information, select the Bank Instructions option from the Shareholder Account Information window.)

CDSC Hypothetical Calculation (displayed only if the account is a CDSC account)

Displays hypothetical information on contingent deferred sales charge (CDSC) fees for a redemption from the account. (Displayed fees are for informational purposes only. This window does not initiate an actual redemption transaction.)

Redemption Verification

Redemption Verification window

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a social security number or an employer identification number.

Redemption Verification Detail

Displays the details associated with the redemption transaction for verification. The details include share or dollar amount of the redemption, fund and account. The redemption transaction can be confirmed or canceled on this page.

Return to Shareholder Account Information

Links back to the main Shareholder Account Information window.

Redemption Confirmation

The screenshot shows a Netscape browser window titled "Vision - Redemption - Netscape". The page header for "GLOBAL PRIME INVESTORS FUNDS" includes a logo and the word "Redemption". The main content area is titled "CLIENT SERVICES MONEY MARKET FUND" and displays the following information:

Ticker: CSMBF	CUSIP: CUSIP3400	Fund Code: 34
Account: 7151112	JOSEPH W SMITH	
Tax ID/SSN: 046-31-2699	CUST KYLE V SMITH	
	UGMA-MA	
	500 VICTORY RD	
	QUINCY MA 02171-3132	

Redemption Confirmation
You have approved a request to sell \$200.00 worth of shares from the CLIENT SERVICES MONEY MARKET FUND, account number 7151112. The fund company reserves the right to reject this transaction. If this transaction is accepted by the fund company, proceeds will be mailed to the above address. If the shareholder does not receive written confirmation of this transaction, please contact the fund company at (816) 843-6712.

The reference number for this transaction is 0000704.

[Return To Shareholder Account Information](#) [Help](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Document Done

Redemption Confirmation window

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a social security number or an employer identification number.

Redemption Confirmation Detail

Confirms the details associated with the redemption transaction. The details include share and dollar amount of the redemption, fund, and account. The fund's phone number and a trade reference number is also provided in the confirmation. The redemption cannot be modified or deleted through Vision.

Return to Shareholder Account Information

Links back to the main Shareholder Account Information window.

Exchange

The screenshot shows a web browser window titled "Vision - Exchange - Microsoft Internet Explorer". The page header for "GLOBAL PRIME INVESTORS FUNDS" includes the word "Exchange" in a stylized font. The main form is titled "CLIENT SERVICES MONEY MARKET FUND". It contains the following fields and information:

- Ticker:** GSMBF
- CUSIP:** CUSIP2400
- Fund Code:** 34
- Account:** 5000000224
- Tax ID/SSN:** 497-82-2623
- Investor Information:** JOHN P KELLER, MARILYN B KELLER JT WROS, 7914 NW 76TH TER, KANSAS CITY MO 64152-4419
- Total Shares:** 54,637.0
- Account Value:** \$11,059.41
- (Actual shares available for exchange may be less.)**
- (Decimal point not required on whole dollar trades, see Help for examples.)**
- Exchange Option:**
 - ☒ Dollar Amount: \$ [text box]
 - ☐ Number of Shares: [text box]
 - ☐ All Shares
- Exchange to Fund:**
 - 0000096 - CLIENT SERVICES LOAD FUND
 - 0000093 - CLIENT SERVICES LOAD TEST FUND
 - 0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
 - 0000095 - NO-LOAD FUND
- Exchange to Account:**
 - ☒ Existing Account: [text box]
 - ☐ Establish New Account
- Buttons:** [Continue]
- Help:** [Link]
- E-Mail to Vision Support:** [Link]
- Copyright:** © 1999 DST Systems, Inc. All Rights Reserved.

Exchange window

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a social security number or an employer identification number.

Total Shares

Displays the current share balance of the account.

Account Value

Displays the dollar value of the account. Account value is determined by multiplying the sum of the issued and non-issued shares by the net asset value.

Dollar Amount

Enter the dollar amount of the exchange. Decimal point is not required on whole dollar amounts. This field is valid only if the Dollar Amount radio button is selected.

Number of Shares

Enter the number of whole shares to be exchanged. This field is valid only if the Number of Shares radio button is selected.

All Shares

Enables all shares to be exchanged from the account.

Exchange to Fund

Select the fund into which the dollar amount/shares will be exchanged.

Existing Account

Enter the account number into which the dollar amount/shares will be exchanged. This field is valid only if the Existing Account radio button is selected.

Establish New Account

Enables shares to be exchanged into a new account. Registration information from the existing account will be used to establish the new account.

Return to Shareholder Account Information

Links back to the main Shareholder Account Information window.

560227 2632460

Exchange Verification

GLOBAL PRIME INVESTORS FUNDS
Exchange

CLIENT SERVICES MONEY MARKET FUND

Ticker: CSMFF CUSIP: CUSIP3480 Fund Code: M

Account: 5080000224 JOHN P KELLER
Tax ID/SSN: 457-82-2421 MARILYN S KELLER ITWBOS
7914 NW 78TH TER
KANSAS CITY MO 64133-4419

Exchange Verification

Warning: WRN11 - 00000005: Transaction entered after market hours cutoff time. Transaction will be processed on the next business day.

You have requested the exchange of \$100.00 worth of shares from the CLIENT SERVICES MONEY MARKET FUND, account number 5080000224, to the CLIENT SERVICES LOAD FUND, account number 6000000546. The fund company reserves the right to reject this transaction. If this transaction is accepted by the fund company, the money will be exchanged.

If you do not want to exchange these shares, select CANCEL.

[Return To Shareholder Account Information](#) [Help](#)

Copyright 1999 DST Systems, Inc. All Rights Reserved.

Document Done

Exchange Verification window

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a social security number or an employer identification number.

Exchange Verification Detail

Displays the details associated with the exchange transaction for verification. The details include share or dollar amount of the exchange, the from fund and account and the to fund and account. The exchange transaction can be confirmed or canceled on this page.

Return to Shareholder Account Information

Links back to the main Shareholder Account Information window.

044332460

Exchange Confirmation

Exchange Confirmation window

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a social security number or an employer identification number.

Exchange Confirmation Detail

Confirms the details associated with the exchange transaction. The details include share or dollar amount of the exchange, the from fund and account and the to fund and account. The fund's phone number and a trade reference number is also provided in the confirmation. At this time, the exchange cannot be modified or deleted through Vision.

Return to Shareholder Account Information

Links back to the main Shareholder Account Information window.

00473374632460

Index

A

Account, 31, 32, 33, 34, 36, 37, 38, 40, 41
Account Value, 32, 39
All Shares, 39

B

By Check Mailed to the Above Address
(radio button—displayed only if
account contains bank account
information), 35

C

CDSC Hypothetical Calculation
(displayed only if the account is a
CDSC account), 36

D

Dollar Amount, 39

E

Error Messages, 13, 16, 19, 24, 27
Error/Warning Processing, 10
Establish New Account, 39
Exchange to Existing Account, 7
Exchange to Fund, 39
Exchange to New Account, 7
Exchange Transactions, 6
Existing Account, 39

K

Key Descriptions, 9

N

Number of Shares, 39

O

Overview, 5

P

Purchase (ACH), 5, 12, 14, 17, 21, 25

R

Redemption - Check or ACH, 6
Return to Shareholder Account
Information, 37, 39

S

systematic exchange information, 21

T

Tax ID/SSN, 31, 32, 33, 35, 36, 37, 38, 40, 41
Total Shares, 32, 38
Transaction Fixed Request Data, 12, 14, 18, 21, 25
Transaction Fixed Response Data, 12, 15, 18, 22, 26
Transaction Options, 5
Transaction Variable Repeatable
Response Data, 13, 16, 19, 23, 27
Transactions, 9

V

VISION Header, 10

W

Warning Messages, 13, 16, 19, 23, 27

PRINT OF DRAWINGS
AS ORIGINALLY FILED

Vision Mutual Fund Gateway®
External Fund Technical Guide

New Account Establishment

660627 2E937460

December 10, 1999

DST
SYSTEMS

09475637 123099

This material is provided to you under a license agreement that restricts disclosure. The material herein contains proprietary confidential information and trade secrets of substantial economic value to DST Systems, Inc. Any disclosure or dissemination of this information to persons or concerns not authorized by DST Systems, Inc. is strictly prohibited.

© 1999, DST Systems, Inc. All rights reserved.

Vision and TA2000 are registered trademarks of DST Systems, Inc.

Vision New Account Establishment External Fund Manual
December 10, 1999

DST Systems, Inc.
333 West 11th Street
Kansas City, MO 64105-1594
www.dstsystems.com

Printed in

Contents

Contents	3
Chapter 1: New Account Establishment Descriptions.....	5
Overview.....	5
Chapter 2: Fund-Specific Content	7
Chapter 3: Processing and Account Options.....	11
Chapter 4: Message Definitions.....	15
Key Descriptions	15
Error Processing	16
Vision Header.....	16
REGTYPE.....	18
Representative Information.....	21
Registration Format.....	23
Address Verification	26
Fund Options.....	28
Bank Information.....	33
Dividend Reinvestment Across Accounts Validation.....	35
Account Verification.....	37
Letter of Intent Agreement Amounts.....	41
Systematic Processing Days	42
Interested Party Additional Mail Information	44
New Account Establishment Update	46

660627 2232450

Chapter 5: Vision Options Implementation Worksheet.....	69
Management Level Options.....	69
Chapter 6: Field Descriptions and Definitions.....	71
Representative Information.....	71
Select Registration Type.....	72
Registration Information.....	73
Shareowner Address.....	79
Verify Shareowner's Address.....	80
Designate Beneficiaries.....	81
Select a Fund.....	82
Investment Amount.....	84
Bank Information.....	87
Set Up Account Options.....	88
Distribution Options.....	90
Automatic Investment.....	92
Automatic Withdrawal.....	93
Rights of Accumulation/Letter of Intent.....	94
Interested Party.....	102
Select Telephone Redemption.....	103
Select Telephone Exchange.....	104
Brokerage and Suitability Forms.....	104
Account Application Verification.....	119
Appendix A: State/Country Abbreviations.....	131
Appendix B: ICI Fund Investment Objective Codes.....	143

Chapter 1:

New Account Establishment Descriptions

Overview

This chapter provides a general overview of the Vision Mutual Fund Gateway new account establishment interface. For detailed information about connectivity and security please refer to chapters 1, 2, and 3 of the Inquiry External Fund Technical Manual.

The Vision new account interface allows the financial intermediary to establish and settle a new account online in real time. New account establishment through Vision eliminates paper processing and requires no manual intervention by the fund.

New account establishment functionality is optional at the fund management company level. In addition, the operator ID must be coded for new account establishment capability before access is allowed. New account establishment capability can be turned on or off at the Vision ID level. Therefore, a high degree of flexibility is afforded the fund as new account establishment may be supported through Vision, but only authorized for specific operators.

New Account Establishment Options

Vision offers four new account establishment options:

- 1. Establish the new account electronically and settle the initial purchase through ACH**—The financial intermediary completes an application online, establishes the new account at the fund, and settles the account electronically via an on-demand ACH (Automated Clearinghouse) from the shareowner's checking account. The ACH purchase for new accounts will be processed like any other ACH transaction. The trade date for settlement of the account will be determined by the fund's ACH processing rules. The intermediary may also print a copy of the application for the customer's signature.
- 2. Establish the new account electronically and waive the initial investment**—The financial intermediary completes an application online, establishes the new account at the fund, waives the initial investment and settles the account electronically via ACH automatic investment. The trade date for settlement of the account will be determined by the fund's ACH processing rules. The intermediary may also print a copy of the application for the customer's signature.

3. **Establish the new account electronically and settle the initial purchase by check**—The financial intermediary completes an application online, establishes the new account at the fund, and settles the account by check. The broker/dealer attaches the shareholder's check to a printed remittance form and mails it to the fund.
4. **Mail the new account application to the fund and settle the initial purchase by check**—The financial intermediary completes an application online and prints the application form. The shareholder signs the application and pays the initial investment by check. The broker/dealer attaches the shareholder's check to the application and mails it to the fund. The account will not be established until the application is processed by the transfer agency.

Registration Types

The following registration types may be established through the Vision new account interface:

- Individual Male
- Individual Female
- Joint Tenants
- Tenants in Entirety
- Tenants in Common
- Uniform Gift to Minor
- Uniform Transfer to Minor
- Traditional IRA
- Roth Contributory IRA

Chapter 2:

Fund-Specific Content

The Vision new account establishment application has two areas where the fund can insert its own management-company-specific text:

- The Account Application
- The IRA Fee Information on the Enter Investment Amount window

Account Application

- **Introduction**—The fund company can insert its own legal text at the beginning of the Account Application/Adoption Agreement. There is no standard text.
- **Conclusion**—The fund company can insert its own legal text at the end of the Account Application or use standard Vision legal text (see page 8).
- **Adoption and Custodian Acceptance Agreements**—If the fund allows establishment of fiduciary accounts through Vision, the Account Application must include the fund's Adoption and Custodian Acceptance Agreements. There is no standard text for this section.

There is no size limit on the content for each section. The fund-specific text will be established at the management company level (separate text at the fund level is not available). The fund's Account Application text, in html format, should be mailed to DST on a diskette, or attached to an e-mail and sent to dstvision@dstsystems.com

If the fund prefers to use the standard Vision legal text for the conclusion of the Application, check **Yes** for the **Standard Application Text and Legal Content** box on the Management Options worksheet in Chapter 5.

Standard Application Legal Text

You must complete this section in order to establish your account. Sign exactly as printed on registration. Print titles below if signing on behalf of a business or trust. For joint registration, all must sign.

- I am of legal age, have read the fund prospectus(es) and agree to its terms.
- If I have not declined the automated transaction privileges, I agree to indemnify and hold harmless <Management Company Name Goes Here>, and its subsidiaries including <Management Company Name Goes Here> (the fund's service agent), collectively "<Management Company Name Goes Here>" and any fund that may be involved in transactions authorized by telephone or Internet against any claim, loss, expenses, or damage including reasonable fees of investigation and counsel in connection with any automated withdrawal effected on my account. Furthermore, <Management Company Name Goes Here> is authorized to act upon instruction received by Internet or telephone from any party that can provide my personal identification number in the case of transactions performed via the Internet or in the case of automated transactions performed by other means, any two of the following: 1) my account registration, 2) address of record, and/or 3) Social security number. Joint records will act on the instruction of any one tenant.
- I understand that the automated transaction privilege may be modified or terminated at any time. I also understand that all privileges and features selected in this application, including the automated transaction privilege, if I have not declined it, are subject to the conditions and provisions set forth herein and in the current prospectuses of the funds.
- I understand that if I elect to declare one or more beneficiaries, the account is subject to the <Management Company Name Goes Here> Rules Governing Transfer on Death Registration under the Missouri non-probate transfer laws.
- I understand that if <Management Company Name Goes Here> or any fund fails to follow the procedures outlined in the prospectus, it may be liable for any losses due to unauthorized or fraudulent instruction.

For corporations, trusts, or partnerships: We hereby certify that each of the persons listed below has been duly elected, is now legally holding the office set forth opposite his/her name, and has the authority to make this authorization.

If I am a U.S. citizen or resident alien, as indicated above, I certify under penalties of perjury that (1) my Social Security or tax identification number provided in this application is correct (or I am waiting for a number to be issued to me) and (2) I am not subject to backup withholding because (a) I am exempt from backup withholding or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding or (c) the IRS has notified me that I am no longer subject to backup withholding. (Please cross out item (2) (b) above if it does not apply to you.)

I am a non-resident alien, as indicated above, I certify, under penalty, that I am not a U.S. citizen or resident alien (or I am filing for foreign corporation, partnership, estate, or trust), and I am an exempt foreign person as defined under IRS regulations.

The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

Standard Application Legal Text for Account Application

IRA Fees and Information

If the fund allows establishment of fiduciary accounts through Vision, IRA fees can be explained in a client-specific insert on the Enter Investment Amount window.

IRA fee information can either appear directly on the Enter Investment Amount window, or as a hyperlink to another page. In the example below, clicking the IRA Fees and Information hyperlink takes the operator to a Help window that includes information on how to calculate and pay IRA fees.

The fund's IRA fee text, in HTML format, should be mailed to DST on a diskette, or attached to an e-mail and sent to dstvision@dstsystems.com.

0947533 123099

Vision - New Account Setup - JOINT TENANT - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - TRADITIONAL IRA

Enter Investment Amount

New accounts will be established in the fund(s) which have a dollar amount entered. Please enter a dollar amount for each fund to be established, select a payment type and press the Next button to continue. If the management company allows accounts to be established without an initial investment, the Waive Initial Investment column will display. When waiving the minimum initial investment, enter either a dollar amount below the Minimum Investment in the Amount field or select the Waive Initial Investments check box for each fund.

WARNING: Initial purchases processed by electronically debiting the customer's bank account after the mutual fund's processing cut off time will be processed on the next business day.

Fund Name	Share Class	Minimum Investment	Current Year \$ Amount	Waive Initial Investments
CLIENT SERVICES MONEY MARKET FUND	CLASS A SHARES	\$ 50.00		<input type="checkbox"/>
NO-LOAD FUND	CLASS A SHARES	\$ 100.00		<input type="checkbox"/>
CLIENT SERVICES LOAD FUND	CLASS A SHARES	\$ 150.00		<input type="checkbox"/>
CLIENT SERVICES LOAD TEST FUND	CLASS A SHARES	\$ 200.00		<input type="checkbox"/>

IRA Fees and Information **IRA Fee Amount**

(The IRA Fee amount may only be paid by check.)

Payment Type - Applies to all funds selected
(Payment type not applicable when waiving the initial investment.)

☐ Electronically Debit Customer's Bank Account
☐ Mail Check to the fund

[Return to Menu](#) | [Disclaimer](#) | [Help](#) | [E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Enter Investment Amount (Fiduciary Accounts)

Vision - Enter Investment Amount Help - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Vision®
Establish New Account—Enter Investment Amount Help

IRA Fee Information

There is an annual \$12 custodial fee per fund for Global Prime Investors. If you hold two or more accounts you will be charged a maximum of \$24. If your aggregate Global Prime Investors IRA balance is \$25,000 or more, the maximum custodial fee is \$12.

Annual custodial fees are assessed on a calendar year basis. If the annual custodial fee is not paid by separate check, Investors Fiduciary Trust Company will automatically deduct the annual custodial fee from your account in the fourth quarter.

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

IRA Fee Information (Enter Investment Amount Help)

Chapter 3:

Processing and Account Options

The following chapter describes the available processing and account options when establishing a new account through Vision.

Automated Clearing House (ACH) Settlement of Initial Purchase

The initial investment can be settled automatically via an ACH from the shareowner's checking account. The ACH purchase for new accounts will be sent through the fund's bank and will process like the fund's other ACH purchases. The trade date for the settlement of the account will be determined by the fund's ACH processing rules.

Check Settlement of Initial Purchase

The initial investment can be settled with the shareholder's check. When the application has been completed, a message will display on the new account screen to prompt the broker/dealer to attach the shareholder's check to a printed remittance form and mail it to the fund to settle the initial purchase. The remittance form will allow the fund to match the shareholder's check to the electronically established new account.

Address Verification

The address entered through the Vision new account establishment process is verified against the U.S. Post Office Finalist address database. The system will display a modified address based on the Finalist edits. This address can be accepted or changed by using the browser's **Back** button. If an address is not recognized by this edit, the address entered will be displayed along with a warning message.

Select a Fund

This window lists funds available for establishment of new accounts through Vision, along with the fund's investment objective, share class, CUSIP number and ticker symbol.

Enter Investment Amount

This window lists the funds that have been selected for new account setup and displays the minimum initial investment. Establish a new account by entering an amount (for current or prior tax years if the account is a traditional IRA), or by

waiving the initial investment and settling the amount through automatic investment. The Enter Investment Amount window also displays payment options (check or ACH) and IRA fee amounts for fiduciary accounts. Multiple accounts can be established with the same registration during a single new account setup process.

Bank Instructions

Bank instructions can be established for the following scenarios:

- Funds from a shareholder's bank account to be debited for the initial purchase of shares in a mutual fund
- Dividends deposited directly into the shareholder's bank account
- Funds from a shareholder's bank account to be debited for the systematic purchase of shares in a mutual fund
- Systematic redemptions deposited directly into the shareholder's bank account
- Telephone redemptions deposited directly into the shareholder's bank account

Multiple shareholder bank account instructions can be established when setting up a new account through Vision.

Distribution Options

Distributions can be reinvested, paid by check, deposited directly to a bank account via Automated Clearing House (ACH), or reinvested to an existing account in another fund. The reinvestment and check options are automatically available and reinvestment is the default.

The fund can allow a shareholder to reinvest distributions to an existing account in another fund. This is known as **Automatic Reinvest Across Accounts**. The management company must establish eligible reinvestment funds. The DST options allow the fund to designate whether the receiving (to) fund shares are priced at NAV or offering price.

Automatic Investment Option

A shareholder's account can be established with the ability to automatically purchase more shares on a periodic basis via ACH.

Automatic Withdrawal Option

A shareholder's account can be established to automatically redeem shares from the account on a periodic basis. The redemption can be processed as a check or automatically deposited into a bank account via Automated Clearing House (ACH).

Letter of Intent (LOI)/Rights of Accumulation (ROA)

Fund companies may use Vision to link new accounts to new or existing ROAs and/or LOIs. If the fund activates Auto ROA, Vision will automatically assign ROA numbers to new accounts based on the fund's criteria.

Telephone Redemption

A shareholder's account can be established with the ability to process redemptions over the phone.

Telephone Exchange

A shareholder's account can be established with the ability to process exchanges over the phone.

Interested Party

Indicates whether or not a fund allows the interested party (additional mail) option to be established for a new account through Vision.

Suitability Form

The New Account Suitability form allows the operator to compile personal information about customers to ensure their financial backgrounds are compatible with their investment selections. This information is not retained by the fund.

Brokerage Application

The Brokerage Application form allows the broker to develop detailed personal and financial profiles of new clients. It provides some of the same information as the Suitability Form, but brokers generally reserve the brokerage application for the initial purchase by a new customer, and complete the less detailed suitability form for subsequent purchases. This information is often used to establish a new account with the brokerage and is not retained by the fund.

Account Application Remittance Form

The New Account Remittance form will appear if the account is established electronically and the initial purchase will be settled by check. The remittance form will include shareowner account information, investment selections, and the new account numbers. The form should be printed and remitted to the fund company along with the shareowner's check.

New Account Fund Application

The New Account Fund Application allows the operator to print a copy of the completed application. The application includes the fund-specific text, registration information, investment selections, new account numbers, account options, and an area for the shareowner's signature and date.

Message Definitions

Key Descriptions

[illegible]

Error Processing

When an error occurs on a fund company's system, the following processing should occur:

- ## Vision Header

The Vision header record is sent at the beginning of the Request data stream and will be returned at the beginning of the Response data stream. For example, with Account History, the Vision Header + Account History Request will be sent to the fund company. The fund would return the Vision Header + Account History Response will be returned. When the fund company returns the header information, the following fields need to be updated:

- December 10, 1999

- Return Code
- Error Code (only if error occurs)
- Error Data (optional)

Columns	Field Name	Field Type	M/O	Values	Description
1-4	Project ID	Char 4	M		Project identifier used to identify the layout. Assigned by DST.
5-7	Header Version	Num 3		Send spaces or null values.	Version of header. This is for future use.
8-17	Packet Length	Num 10	M		Total length of data stream including the header.
18-20	Data Version	Num 3		Send spaces or null values.	Version of the data. This is for future use.
21-30	Data Length	Num 10	M		Length of data area, not including header (0 if no data)
31-47	Transaction ID	Char 17	M		Transaction identifier. Example: "ACCTHIST@VISION." This format is <i>not</i> required. If an alternate transaction ID format is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.
48-57	Source System ID	Char 10		Send spaces.	Indicates the source of the message. This value is used for information purposes. DST will assign these values to the message originators. This is for future use.
58-67	Source Tag	Num 10	M	Operator defined	This field can be used by the source application to attach an "identification" tag to individual transactions. This value will be returned in the response header.

Columns	Field Name	Field Type	M/O	Values	Description
68-77	Operator ID	Char 10	M	Vision or External Fund ID	The Operator ID (Vision) used to log on.
78-85	Password	Char 8	M	Send spaces	
86-89	Return Code	Num 4	M	0000 – Normal 0010 – Error	Return Code
90-97	Error Code	Char 8	O		Error Code from the target system. This could be used as a reference if the Vision operator should call the fund.
98-337	Filler	Char 240		Send spaces.	For future use.

REGTYPE

Example on page 2

Required

For establishing new account types.

Transaction ID: REGTYPE@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-8	Fund Family ID	Char 8	M		Identifies a mutual fund family.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Occurrences	Num 3	M	000 – 008	Identifies the number of times variable response data repeats.

Columns	Field Name	Field Type	M/O	Values	Description
1-11	Registration Type Identification 2	Num 11	M		The second in a series of numbers assigned by the system and sent to fund in EDITSCRUB to identify the registration type selected.
12-22	Registration Type Identification 1	Num 11	M		The first in a series of numbers assigned by the system and sent to fund in EDITSCRUB to identify the registration type selected.
23-57	Registration Type Long Name	Char 35	M		<p>The long name used to identify this registration type. These fields are displayed in Vision on the Select Registration Type window and can include any or all of the following:</p> <p>Individual Male</p> <p>Individual Female</p> <p>Joint Tenants</p> <p>Tenants in Entirety</p> <p>Tenants in Common</p> <p>Uniform Gift to Minor</p> <p>Uniform Transfer to Minor</p> <p>Traditional IRA</p> <p>Roth Contributory IRA</p>
58-59	Account Type	Char 2	M	01 = Single 02 = Joint 03 = UGMA/UTMA 04 = Fiduciary	A code used to determine the type of account being established in new account setup. Note: UGMA/UTMA will be determined by the state in which the donor resides.

Columns	Field Name	Field Type	M/O	Values	Description
60-62	Maximum Number of Secondary Occurrences	Num 3	M	0-3	Determines the maximum number of secondary shareowners lines to display on the Enter Registration Information window. Joint Tenants=3 Tenants in Common=3 Tenants in Entirety=1 UGMA/UTMA=1
63	Date Required Code	Alpha 1	M	Y = Yes N = No	Indicates whether or not the Start Year field should be displayed on the Enter Registration Information window to enter start year of Roth IRA. Yes = Start Year field will display, and Registration Format Contribution Year will be populated. No = Start Year field will not display, and Registration Format Contribution Year will be spaces.

Error Messages

Error Code	Error Message	Description
REGT0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
REGT0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.

Error Code	Error Message	Description
REGT0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Representative Information

Example on page 71

Required

Representative information validates the dealer/branch/representative information input on the Enter Representative Information window. Where applicable, default branch and representative name is returned to display on the application.

Transaction ID: REPINFO@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-8	Fund Family ID	Char 8	M		Identifies a mutual fund family.
9-17	Representative Number	Char 9	M		Number assigned by the fund to identify the representative.
18-52	Representative Name	Char 35	M		The full name of the fund group representative.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-10	Dealer Branch	Char 10	O		Identifies the default dealer branch or pay office for use in establishing the new account.
11-45	Returned Representative Name	Char 35	O		The full name of the fund group representative returned when the Fund Group Representative Name provided in the request is not found or is different than the mainframe.

Columns	Field Name	Field Type	M/O	Values	Description
46	Business Day Code	Alpha 1	M	Y = Business Day N = Non Business Day	Indicates whether or not the current day is a business day. Used in determining the trade date for the initial purchase. Does not display.
47	Prior Year Valid Current Date	Alpha 1	M	Y = Yes N = No	Indicates that the current date falls within the January 1st, through mid-April time frame, when contributions can be made for a prior year.

Error Messages

Error Code	Error Message	Description
REPI0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
REPI0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous window.	Files unavailable for read access due to system updates or file outages.
REPI0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
REPI0004	The Dealer Number specified is not correct. Please click the Back button on your browser to return to the previous window so that you can make the necessary correction.	Data or operator error.
REPI0005	The Representative (Rep) Number specified is not correct. Please click the Back button on your browser to return to the previous window so that you can make the necessary correction.	Operator error.
REPI0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Registration Format

Example on page 9

Required

Registration Format formats the shareowner and joint applicant names according to the management company processing rules.

Transaction ID: EDITSCRB2@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-8	Fund Family ID	Char 8	M		Identifies a mutual fund family.
9-11	State Code	Char 3	M		A two-character state abbreviation (plus one space) for the state in which the donor resides for a Uniform Gift/Transfer to Minors account registration. For example, Missouri would be "MO_."
12-14	UGMA/UTMA Age Count	Num 3	M		The age of the minor, based on the birth date entered in the Enter Registration Information window.
15-25	Registration Type Identification 2	Num 11	M		The second in a series of numbers assigned by the system that represents the unique identifier for a registration type. Note: Number may be negative or positive and is signed on mainframe side.
26-36	Registration Type Identification 1	Num 11	M		The first in a series of numbers assigned by the system that represents the unique identifier for a registration type. Note: Number may be negative or positive; signed on mainframe side.

**PRINT OF DRAWINGS
AS ORIGINALLY FILED**

Message Definitions

Vision New Account Establishment External Fund Manual

Columns	Field Name	Field Type	M/O	Values	Description
37-40	Registration Format Contribution Year	Num 4	M	CCYY	The start year that will display in the registration when a Roth IRA is established. The date will be required if the Date Required Code in the Registration Type field is "Yes." If Date Required Code is "No," send spaces.
41-42	Account Type	Char 2	M	01 = Single 02 = Joint 03 = UGMA/ UTMA 04 = Fiduciary	A code used to determine the type of account being established.
43-45	Occurrences	Num 3	M	001 – 004	Identifies the number of times the request variable repeats.

Transaction Variable Repeatable Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-4	Registration Format Symbol Code	Alpha 4	M	PRI = Primary Shareowner SEC= Secondary Shareowner CUS = UGMA and UTMA MIN = Minor	The code that is used to identify a relationship role type of a registration format symbol.
5-39	Customer Prefix Text	Char 35		Send spaces.	Customer's name prefix that is input in the subroutine to be formatted into registration. For future use with Customer Legal Owner.
40-74	Customer Suffix Text	Char 35		Send spaces.	Customer's name suffix that is input in the subroutine to be formatted into registration. For future use with Customer Legal Owner.
75-109	Customer First	Char 35	M		Customer's first name that is

094237 42099
050527 2632450

Columns	Field Name	Field Type	M/O	Values	Description
	Name				input in the subroutine to be formatted into registration.
110-144	Customer Middle Name	Char 35	M		Customer's middle name that is input in the subroutine to be formatted into registration.
145-179	Customer Last Name	Char 35	M		Customer's last name that is input in the subroutine to be formatted into registration.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-79	Error Message Text	Char 79		Send spaces.	For future use.
80-82	Occurrences	Num 3	M	001 - 004	The number of times the variable response data repeats.
83-92	Alpha Code	Char 10	M		The alphabetic account identification code maintained on the mutual fund system for account searching capabilities.
93	Shareowner Account Phone Check Redemption Code	Alpha 1	M	Y = Yes N = No	Indicates whether or not the shareowner has chosen to allow telephone redemptions by check. Y = the shareowner has the option of calling for check redemptions N = the shareowner does not have the option. Note: Added to EDITSCRB view since social code was passed in view.
94-96	Registration Type Code (Social Code)	Num 3	M		The code used to identify an ownership classification. Determines the type of account.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-35	Registration Name	Char 35	M		Registration name returned by the subroutine.

650327 " 4637460

Error Messages

Error Code	Error Message	Description
EDIT0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
EDIT0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous window.	Files unavailable for read access due to system updates or file outages.
EDIT0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Address Verification

Example on page 40

Required

Address Verification validates the shareowner's address against the US Postal Service and reformats the address according to postal service standards.

Transaction ID: ADDREDIT@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-35	Address Line 1	Char 35	M		First line of shareowner address.
36-70	Address Line 2	Char 35	M		Second line of shareowner address.
71-105	Address Line 3	Char 35	M		Third line of the shareowner address.

Columns	Field Name	Field Type	M/O	Values	Description
106-140	Address Line 4	Char 35	M		Fourth line of the shareowner address.
141-175	Address Line 5	Char 35	M		Fifth line of the shareowner address.
176-210	Address Line 6	Char 35		Send spaces.	Sixth line of the shareowner address.
211-245	Address Line 7	Char 35		Send spaces.	Seventh line of the shareowner address.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-65	Error Text	Char 65	M	Send spaces or non-spaces.	Error text from State/Zip editor. Spaces = no error, any other characters = error.
66-130	Error Text	Char 65		Send spaces.	
131-165	Address Line 1	Char 35	M		Reformatted first line of shareowner address.
166-200	Address Line 2	Char 35	M		Reformatted second line of shareowner address.
201-235	Address Line 3	Char 35	M		Reformatted third line of shareowner address.
236-270	Address Line 4	Char 35	M		Reformatted fourth of shareowner address.
271-305	Address Line 5	Char 35	M		Reformatted fifth line of shareowner address.
306-340	Address Line 6	Char 35	M		Reformatted sixth line of shareowner address.
341-375	Address Line 7	Char 35		Send spaces.	Reformatted seventh line of shareowner address.
376-400	Registration City Name	Char 25	O		Reformatted city name.
401-402	Registration State Code	Char 2	O		Reformatted state code.
403-407	Zip Code	Num 5	O		Reformatted Zip.
408-411	Zip Code Suffix	Num 4	O		Zip suffix.

094727 4637460

Columns	Field Name	Field Type	M/O	Values	Description
412-413	Zip Code Future	Num 2	O		Zip future.
414-416	Resident State/ Country Code	Char 3	M		A two-character state/country code plus a one-character domestic/foreign indicator for the shareholder's state and country of residence. For example, Missouri would be "MOD." See Appendix A for a list of codes.
417	First Registration Line Code	Num 1		Send spaces.	Line code for first line of address information.
418	City State Zip Line Code	Num 1		Send spaces.	Line code for City/State/Zip.

Error Messages

Error Code	Error Message	Description
ADDR0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
ADDR0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous window.	Files unavailable for read access due to system updates or file outages.
ADDR0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Fund Options

Required

Fund Options provides fund processing rules for establishing new accounts.

Transaction ID: FUNDOPT@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred,

the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-8	Fund Family ID	Char 8	M		Identifies a mutual fund family.
9-21	Next Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Next Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-16	Occurrences	Num 3	M	000 - 099	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14	Transaction Allowed	Alpha 1	M	Y = Yes N = No	Distinguishes whether or not the processing of the transaction is allowed.
15-29	Minimum Investment Amount	Num 15	M	13.2	The minimum amount allowed for an initial investment.
30-44	Minimum ACH Purchase Amount	Num 15	M	13.2	The minimum amount allowed for systematic ACH purchases.

Columns	Field Name	Field Type	M/O	Values	Description
45-59	Maximum ACH Purchase Amount	Num 15	M	13.2	The maximum amount allowed for systematic ACH purchases.
60-74	Minimum ACH Redemption Amount	Num 15	M	13.2	The minimum amount allowed for systematic ACH redemptions.
75-89	Maximum ACH Redemption Amount	Num 15	M	13.2	The maximum amount allowed for systematic ACH redemptions.
90	Initial ACH Purchase	Alpha 1	M	N = No Y = Yes F = FID No D = Non-FID No	N = Initial ACH purchases are not allowed for either fiduciary and non-fiduciary accounts. Y = Initial ACH purchases are allowed for both fiduciary and non-fiduciary accounts. F = Initial ACH purchases are allowed for non-fiduciary, but not allowed for fiduciary accounts. D = Initial ACH purchases are allowed for fiduciary accounts, but not allowed for non-fiduciary accounts.
91	Systematic ACH Purchase	Alpha 1	M	N = No Y = Yes	Distinguishes whether or not the fund allows automatic investments. Only ACH automatic investments are allowed.
92	Systematic Check ACH Redemption Code	Alpha 1	M	C = Check B = Both A = ACH N = No	Distinguishes whether or not the fund allows automatic redemptions via check, ACH, both or neither.
93	Cash Distribution Activity Code	Alpha 1	M	C = Check W = Check and Direct Deposit M = DIV Move A = All	Distinguishes whether or not the fund allows cash distributions via check, check and direct deposit, check and automatic reinvestment across accounts, or all.

Columns	Field Name	Field Type	M/O	Values	Description
94	ROA LOI Activity Code	Alpha 1	M	R = ROA B = Both N = No	Distinguishes whether or not the fund allows letter of intent and rights of accumulation processing.
95	Telephone Redemption Activity Code	Alpha 1	M	C = Check W = Check and Direct Deposit N = No	Distinguishes whether or not the fund allows telephone redemptions via check, check and direct deposit, or none of the above.
96	Telephone Exchange	Alpha 1	M	N = No Y = Yes D = Default	N = Option not displayed. Y = Option displayed, but value must be selected. D = Option is displayed and defaults to "Yes."
97-99	ICI Fund Investment Objective	Num 3	M	000-062	Indicates the investment objective code for this fund: See "Appendix B: ICI Fund Investment Objective Codes" for a list of values for this field.
100-134	Share Class Text	Char 35	M		The share class name for a fund.
135-219	Filler	Char 85		Send spaces.	For future use.
220-234	Maximum Investment Amount	Num 15	M	13.2	The maximum amount allowed for an initial investment.
235-238	Initial Investment Cutoff Time	Char 4	M		The time of day after which initial investments will receive the next business day's trade date. Displayed in military time, Central Time Zone.

00447337 433099
660627 223460

Columns	Field Name	Field Type	M/O	Values	Description
239	Waive Initial Investment Check Box Code	Alpha 1	M	Y = Yes N = No	Indicates whether or not the Waive Initial Investments check box will appear on the Enter Investment Amount window. Y = the management company allows waiver of the initial investment, but automatic investments are required. N = the management company requires an initial investment.
240	Fiduciary Transactions Allowed Code	Alpha 1	M	Y = Yes N = No	Distinguishes whether or not the processing of a fiduciary transaction is allowed for an account type of 04.
241-255	Fiduciary Minimum Investment Amount	Num 15	M	13.2	The minimum amount allowed for an initial investment into a fiduciary account type of 04.
256-270	Fiduciary Maximum Investment Amount	Num 15	M	13.2	The maximum amount allowed for an initial investment into a fiduciary account type of 04.
271-285	Fiduciary Minimum ACH Purchase Amount	Num 15	M	13.2	The minimum amount allowed for ACH purchases into a fiduciary account type of 04.
286-300	Fiduciary Maximum Purchase Amount	Num 15	M	13.2	The maximum amount allowed for purchases into a fiduciary account type of 04.
301-304	Fiduciary Cutoff Time	Char 4	M		The time of day after which initial investments for fiduciary accounts type of 04 will receive the next business day's trade date. Displayed in military time, Central Time Zone.

Error Messages

Error Code	Error Message	Description
FNDO0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
FNDO0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous window.	Files unavailable for read access due to system updates or file outages.
FNDO0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Bank Information

Example on pag~~6~~7

Conditional

Bank Information validates the bank routing number specified on the Bank Information window. If ACH is allowed for initial investments, dividends, automatic investments, automatic withdrawals and telephone redemptions, the Bank Information transaction is required.

Transaction ID: BANKINFO@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-9	Bank Micro ID	Num 9	M		Contains the American Banking Association (ABA) routing number.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-35	Bank Name	Char 35	M		The name of the banking institution.
36-70	Bank Street Address	Char 35	M		The street address of the banking institution.
71-105	Bank City	Char 35	M		The city in which the banking institution resides.
106-108	Bank State Code	Num 3	M		The state code for the state in which the banking institution resides.
109-117	Bank ZIP Code	Num 9	M		The zip code of the banking institution.
118-119	Bank ZIP Code Future	Num 2	M		The future zip code of the banking institution.
120-121	Bank State Country Text	Char 2	M		The two-character state code for the state in which the banking institution resides.

Error Messages

Error Code	Error Message	Description
BANK0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
BANK0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous window.	Files unavailable for read access due to system updates or file outages.
BANK0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Dividend Reinvestment Across Accounts Validation

Example on page 1

Conditional

Dividend Reinvest Across Accounts Validation provides a valid mutual fund list in which dividends and capital gains may be reinvested across accounts. If a management company chooses to offer dividend reinvestment across accounts through new account establishment, the Dividend Reinvest Across Accounts Validation is required.

Transaction ID: NDIVMOVE@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Next "From" Security Issue ID	Num 13	M		Used for repositioning. Initially low values, this field is used on subsequent calls and is populated from the next "from" security issue ID field in the Fixed Response.
14-26	Next "To" Security Issue ID	Num 13	M		Used for repositioning. Initially low values, this field is used on subsequent calls and is populated from the next "to" security issue ID field in the Fixed Response.
27-29	Occurrences	Num 3	M	000 - 999	The number of times the variable response repeats.

Transaction Variable Repeatable Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	"From" Security Issue ID	Num 13	M		Identifies the funds chosen in the Investment Selection window from which dividends will be generated for reinvestment in another fund.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Next "From" Security Issue ID	Num 13	M		Used for repositioning. Contains key information to be returned on subsequent requests in the next "from" security issue ID of the Fixed Request.
14-26	Next "To" Security Issue ID	Num 13	M		Used for repositioning. Contains key information to be returned on subsequent requests in the next "to" security issue ID of the Fixed Request.
27-29	Occurrences	Num 3	M	000 - 999	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	"From" Security Issue ID	Num 13	M		Identifies the mutual fund from which dividends will be generated for reinvesting in another fund.
14-26	"To" Security Issue ID	Num 13	M		Identifies the mutual fund in which dividends will be reinvested.

Error Messages

Error Code	Error Message	Description
NDIV0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
NDIV0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous window.	Files unavailable for read access due to system updates or file outages.

094337 2632460

Error Code	Error Message	Description
NDIV0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Account Verification

Required

Account Verification validates the fund and account number(s) specified for dividend reinvestment across accounts, rights of accumulation and letter of intent.

Transaction ID: ACCTVERF@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1	Return Letter of Intent Information	Alpha 1	M	Y = Yes N = No	This field determines whether letter of intent information will be retrieved. If the value is "Yes," there will be only one occurrence.
2-4	Occurrences	Num 3	M	000 - 100	Identifies the number of times the variable response data repeats. If the return LOI information code = Y, there will only be one occurrence.

Transaction Variable Repeatable Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-10	Starting Date	Char 10	M	MM/DD/YYYY	Starting date of the letter of intent (LOI). This field is mandatory if Return Letter of Intent Information in Transaction Fixed Request Data is "Yes." If "no," send low values.
11-20	Expiration Date	Char 10	M	MM/DD/YYYY	Date the letter of intent (LOI) expires or matures. This field is mandatory if Return Letter of Intent Information in Transaction Fixed Request Data is "Yes." If "no," send low values.
21-35	Agreement Amount	Num 15	M	13.2	The agreed upon dollar amount for the letter of intent (LOI). This field is mandatory if Return Letter of Intent Information in Transaction Fixed Request Data is "Yes." If "no," send low values.
36-50	Amount Invested	Num 15	M	13.2	The purchase-to-date dollar amount invested in the letter of intent (LOI). This field is mandatory if Return Letter of Intent Information in Transaction Fixed Request Data is "Yes." If "no," send low values.
51-65	Amount Due	Num 15	M	13.2	The remaining balance of the letter of intent (LOI). This field is mandatory if Return Letter of Intent Information in Transaction Fixed Request Data is "Yes." If "no," send low values.
66-68	Occurrences	Num 3	M	000 - 100	Identifies the number of times variable response data repeats. This field is mandatory if Return Letter of Intent Information in Transaction Fixed Request Data is "Yes." If "no," send low values.

0947537.12309
660E2T 2E932460

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Char 20	M		The unique identifier for a shareowner account within a mutual fund
34	Account Exists	Alpha 1	M	Y = Yes N = No P = PPA A = Not Authorized	Confirms that the account exists. Y = account exists N = account does not exist. "No," "PPA" and "Not Authorized" should return an error and not allow the operator to continue using that account. "Yes" indicates the account exists and the operator can continue processing.
35-69	Registration Name 1	Char 35	M		First line of shareowner registration.
70-104	Registration Name 2	Char 35	M		Second line of shareowner registration.
105-139	Registration Name 3	Char 35	M		Third line of the shareowner registration.
140-174	Registration Name 4	Char 35	M		Fourth line of the shareowner registration.
175-209	Registration Name 5	Char 35	M		Fifth line of the shareowner registration.
210-244	Registration Name 6	Char 35	M		Sixth line of the shareowner registration.
245-279	Registration Name 7	Char 35		Send spaces.	Seventh line of the shareowner registration.

Columns	Field Name	Field Type	M/O	Values	Description
280-288	LOI Number	Char 9	M		Links accounts that receive a price break by contracting to purchase a certain amount within 13 months. If the Return Letter of Intent Information is 'Y'es, and the value is spaces, an error will result.
289-297	Rights of accumulation (ROA)	Num 9	M		Rights of Accumulation (ROA) Field Description should read "Accounts where commissions have been paid on less than 100% of the total valuation of the group. When linking to an existing ROA, if the value is spaces, an error will result.

Error Messages

Error Code	Error Message	Description
ACCT0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
ACCT0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous window.	Files unavailable for read access due to system updates or file outages.
ACCT0003	The request failed because your Operator ID is not authorized to perform this function. Please call the Vision Help line at 800-435-4112 for assistance.	Operator ID not authorized.
ACCT0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Letter of Intent Agreement Amounts

Examples on page 94-100

For establishing letter of intent agreement amounts.

Conditional

LOI Agreement Amounts provides a list of available agreement amounts to select when establishing an LOI. If a management company chooses to establish LOI through new account establishment, the LOI Agreement Amounts transaction is required.

Transaction ID: ORDRBRKS@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1	Occurrences	Num 1	M	000 - 12	Identifies the number of times variable response data repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-15	Order Level Breaks	Num 15	M	13.2	The price breaks to be displayed as the agreement amounts for letters of intent.

Error Messages

Error Code	Error Message	Description
ODRB0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance	Severe system error has occurred.

0947337 2632460

Error Code	Error Message	Description
ODRB0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
ODRB0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Systematic Processing Days

Conditional

Systematic Processing Days provides the days of the month a shareowner may choose for processing automatic investments and automatic withdrawals. If the automatic investments and/or withdrawals account options will be offered through New Account Establishment, Systematic Processing Days transaction is required.

Transaction ID: SYSDAYS@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-8	Fund Family ID	Char 8	M		Identifies a mutual fund family.
9-21	Next Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Next Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-16	Occurrences	Num 3	M	000 - 0160	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-16	Occurrences	Num 3	M	000 - 031	Number of times the variable response repeats.

Transaction Fixed Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-2	Systematic Transactions Process Date	Num 2	M		The day of the month the systematic transaction is to be processed.
3	ACH Purchases Date Code	Alpha 1	M	Y = Yes N = No D = Default	Distinguishes whether or not ACH purchases can be processed on this date. D = this date is the default for ACH purchases.
4	ACH Redemptions Date Code	Alpha 1	M	Y = Yes N = No D = Default	Distinguishes whether or not ACH redemptions can be processed on this date. D = this is the default date for ACH redemptions.
5	Redemptions by Check Date Code	Alpha 1	M	Y = Yes N = No D = Default	Distinguishes whether or not redemptions by check can be processed on this date. D = this is the default date for redemptions by check.

09475637 123059
660227 292460

Error Messages

Error Code	Error Message	Description
SYSD0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
SYSD0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous window.	Files unavailable for read access due to system updates or file outages.
SYSD0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

Interested Party Additional Mail Information

Example on page 02

Conditional

Provides the ability to designate up to four addresses of interested parties who should receive additional mail for the new accounts being established. Additionally, the process validates the city, state and zip code combination for domestic addresses. If the Interested Party account option (set in Management Information within Inquiry) is offered through New Account Establishment, the Interested Party Additional Mail Information transaction is required.

Transaction ID: INTRPART@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Occurrences	Num 3	M	000 - 004	Identifies the number of times the variable request repeats.

Transaction Variable Repeatable Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-35	Registration Name 1	Char 35	M		First line of shareowner registration.
36-70	Registration Name 2	Char 35	M		Second line of shareowner registration.
71-105	Registration Name 3	Char 35	M		Third line of the shareowner registration.
106-140	Registration Name 4	Char 35	M		Fourth line of the shareowner registration.
141-175	Registration Name 5	Char 35	M		Fifth line of the shareowner registration.
176-210	Registration Name 6	Char 35	M		Sixth line of the shareowner registration.
211-245	Registration Name 7	Char 35		Send spaces.	Seventh line of the shareowner registration.
246	Foreign Address Code	Alpha 1	M	Y = Yes N = No	Designates whether or not the shareowner address is foreign or domestic. Yes = the address is foreign; No = the address is domestic.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1	Occurrences	Num 1	M	0-4	Number of times the variable response repeats.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values
1-15	Error Code	Num 15	M	0 = No Error 1 = Error

Error Messages

Error Code	Error Message	Description
INTR0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.

Error Code	Error Message	Description
INTR0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous window.	Files unavailable for read access due to system updates or file outages.
INTR0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

New Account Establishment Update

Required

New Account Establishment gathers information input through the Vision Web site and establishes new accounts on the mutual funds system.

Transaction ID: NASUUPDT@VISION

The Transaction ID identifies the type of transaction requested for processing. The provided ID format is *not* required. If an alternate transaction ID is preferred, the new name and format is required for each type of transaction. The field type/length remains the same.

Transaction Fixed Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1	Function Code	Alpha 1	M	N	
2	Request Type Code	Alpha 1	M	I = Initial X = All C = Complete N = Incomplete	I is used for the initial call when there will be subsequent calls. X is used for the initial call when there will not be subsequent calls. C is used for a subsequent call when it will be the last call. N is used for a subsequent call when it will not be the last call. Note: This field is required because of the 32K maximum data packet.
3-17	Queue Name 1	Num 15	M		Fund-defined data returned in the response and resent with subsequent requests.
18-32	Queue Name 2	Num 15	M		Fund-defined data returned in the response and resent with subsequent requests.
33-52	Account Number	Num 20		Send spaces or null values.	This is the model account number conditionally used to determine the account numbers of the new accounts. For future use with Account Modeling.
53-55	Registration Type Code (Social Code)	Num 3	O		The code that identifies a registration format that classifies legal ownership registration. Obtained from the Registration Format, Fixed Response.
56-58	Fund Occurrences	Num 3	M	000 - 300	Identifies the number of times the Fund Transaction-Variable Response repeats.

660627 2E952450

Columns	Field Name	Field Type	M/O	Values	Description
59-61	Registration Item Occurrences	Num 3	M	000 - 001	Identifies the number of times the Reg transaction variable response repeats (registration information remains the same regardless of the number of accounts).
62-64	Bank Instruction Item Occurrences	Num 3	M	000 - 300	Identifies the number of times the Bank transaction variable response repeats.
65-67	Initial ACH Purchase Item Occurrences	Num 3	M	000 - 300	Identifies the number of times the ACH Transaction Variable response repeats. There will be one occurrence for each fund in which the shareholder chooses to invest.
68-70	Dividend Instruction Item Occurrences	Num 3	M	001 - 300	Identifies the number of times the Div transaction variable response repeats.
71-73	Systematic Purchase Item Occurrences	Num 3	M	000 - 300	Identifies the number of times the SPR transaction variable response repeats.
74-76	Systematic Redemption Item Occurrences	Num 3	M	000 - 300	Identifies the number of times the SRD transaction variable response repeats.
77-79	LOI Item Occurrences	Num 3	M	000 - 300	Identifies the number of times the SOI transaction variable response repeats.
80-82	ROA Item Occurrences	Num 3	M	000 - 300	Identifies the number of times the ROA transaction variable response repeats.
83-85	Interested Party Item Occurrences	Num 3	M	000 - 300	Identifies the number of times the ADM transaction variable response repeats.
86-88	Telephone Redemptions	Num 3	M	000 - 300	Identifies the number of times the TRD transaction variable response repeats.
89-91	Fiduciary Information	Num 3	M	000 - 001	Identifies the number of times the FID transaction variable response repeats.

660627 2E92460

FUND Transaction Variable Repeatable Request Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14	Expedited Exchange	Alpha 1	M	Y = Yes N = No	Indicates whether or not the new account allows telephone (expedited) exchanges.
15	ACH Account	Alpha 1	M	Y = Yes N = No	Indicates whether or not the new account allows an operator to process ACH transactions.

For setting up the registration and account information. There will be one of these data areas on the initial call and 0 on subsequent calls.

December 10, 1999

[illegible]

Vision New Account Establishment External Fund Manual

50

(continued from page 70)

Columns	Field Name	Field Type	M/O	Values	Description
337	Current ROA Link	Alpha 1	M	S = SSN L = LOI/ SSN N = No Link	Indicates whether or not the fund allows for an existing account to be automatically linked to a qualified related account through Auto ROA.

BNK Transaction Variable Repeatable Request Data

For setting up bank information. Can be 0 to many of these data areas.

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Function ID	Alpha 3	O	BNK	
4	Process Type Code	Alpha 1	O	C = Create U = Update D = Delete	
5-9	Function Length	Num 5	O		The length of the copybook starting at the function-ID field. This is the length of the function information sent to the driver program.
10-12	Function Order Track Count	Num 3	O		This value is used to track the order of the functions processed by the Vision new account establishment and maintenance driver.
13-25	Security Issue ID	Char 13	O		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
26	ACH Special Purchase Code	Alpha 1	M	D = Default Y = Yes N = No	Indicates whether or not this bank instruction represents initial purchases through ACH.

Columns	Field Name	Field Type	M/O	Values	Description
27	Redemption Code	Alpha 1	O	D = Default Y = Yes N = No	Indicates whether or not the account allows telephone redemptions by wire. If the operator select redemptions by check or do not allow telephone redemptions on the Select Telephone Redemption window, this field is No . Otherwise, this field is Yes .
28	Redemption Option	Num 1	O	0 = No 1 = Direct Deposit	Indicates the type of telephone redemptions allowed on the account. If the operator selects redemptions by check or do not allow telephone redemptions on the Select the Telephone Redemption window, this field is 0 . Otherwise, this field is 1 .
29	ACH Dividend Code	Alpha 1	O	Y = Yes N = No	Indicates whether or not this bank instruction represents dividends by direct deposit.
30	Systematic Transaction Code	Alpha 1	O	Y = Yes N = No	Indicates whether or not this bank instruction represents automatic withdrawal or automatic investment.
31-39	Bank Micr ID	Num 9	O		Federal Reserve Routing Number + ABA Number + Check Digit.
40-56	Bank Account Number Unedited	Char 17	O		The bank account number of the shareholder's bank.
57-91	Bank Account Registration Line 1	Char 35	O		First line of the bank account registration.
92-126	Bank Account Registration Line 2	Char 35	O		Second line of the bank account registration.

660627 22992460

Columns	Field Name	Field Type	M/O	Values	Description
127	Bank Account Type Code	Alpha 1	O	C = Checking S = Savings Z = NA	Type of Bank Account.

ACH Transaction Variable Repeatable Request Data

For the ACH purchase transaction. Can be 0 to many of these data areas.

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Function ID	Alpha 3	O	ACH	
4	Process Type Code	Alpha 1	O	C = Create U = Update D = Delete	
5-9	Function Length	Num 5	O		The length of the copybook starting at the function-ID field. This is the length of the function information sent to the driver program.
10-12	Function Order Track Count	Num 3	O		This value is used to track the order of the functions processed by the Vision new account establishment and maintenance driver.
13-25	Security Issue ID	Char 13	O		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
26-40	Trade Amount	Num 15	O	13.2	Dollar amount of ACH.
41-49	Bank Micr ID	Num 9	O		Verifies the bank instructions on the BNK record.
50-66	Bank Account Number Unedited	Char 17	O		Verifies the bank instructions on the BNK record.
67-101	Bank Account Registration Line 1	Char 35	O		Verifies the bank instructions on the BNK record.

Columns	Field Name	Field Type	M/O	Values	Description
102-136	Bank Account Registration Line 2	Char 35	O		Verifies the bank instructions on the BNK record.
137	Bank Account Type Code	Alpha 1	O	C = Checking S = Savings Z = NA	Verifies the bank instructions on the BNK record
138	Initial Investment Past Cutoff Time	Alpha 1	O	Y = Yes N = No	If the initial investment was processed after the Initial Investment Cutoff Time provided in the FUNDOPT@Vision transaction, this field should contain a Y. Otherwise, NO should be in this field.
139	Waive Minimum Amount Code	Alpha 1	M	Y = Yes N = No	Indicates whether or not the minimum investment amount will be waived. If the flag is Y, then the minimum investment amount on the Fund Transaction Option Table (Q78) will not be enforced. If the flag is N, the minimum amount on the Q78 will be checked against the trade. If the trade does not meet the required minimum, an error will result.
140	Contribution Year Code	Alpha 1	M	P = Prior C = Current	Indicates whether the fiduciary contribution is for the current or prior year.

DIV Transaction Variable Repeatable Request Data (Example on page 90)

For setting the dividend and capital gain options including reinvestment diversification to a separate but existing account. Can be one to many of these data areas.

Note: The DIV Request Data will not be sent if the user chooses to reinvest dividends and capital gains for all funds selected for investment.

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Function ID	Alpha 3	M	DIV	

Columns	Field Name	Field Type	M/O	Values	Description
4	Process Type Code	Alpha 1	M	C = Create U = Update D = Delete	
5-9	Function Length	Num 5	M		The length of the copybook starting at the function-ID field. This is the length of the function information sent to the driver program.
10-12	Function Order Track Count	Num 3	M		This value is used to track the order of the functions processed by the Vision new account establishment and maintenance driver.
13-25	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
26	Dividend Option Code	Num 1	M	0 = Reinvest 1 = Cash	
27	Capital Gains Options Code	Num 1	M	0 = Reinvest 1 = Cash	
28	Cash Instruction Type Code	Alpha 1	M	A = Address of Record M = Move W = Direct Deposit	Will be set to M for "move" when the reinvestment diversification option is selected and the dividends and capital gains will be sent to a separate but existing account.
29-41	"To" Security Issue ID	Char 13	M		This is the fund for the separate but existing account that dividends and capital gains will be moved to when the reinvestment diversification option is selected.

660627 22992460

Columns	Field Name	Field Type	M/O	Values	Description
42-61	"To" Account Number	Char 20	M		This is the fund for the separate but existing account that dividends and capital gains will be moved to when the enter deposit to existing account option is selected.

SPR Transaction Variable Repeatable Request Data (Example on page 92)

For setting systematic purchase options. Can be 0 to many of these data areas.

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Function ID	Alpha 3	O	SPR	
4	Process Type Code	Alpha 1	O	C = Create U = Update D = Delete	
5-9	Function Length	Num 5	O		The length of the copybook starting at the function-ID field. This is the length of the function information sent to the driver program.
10-12	Function Order Track Count	Num 3	O		This value is used to track the order of the functions processed by the Vision new account establishment and maintenance driver.
13-25	Security Issue ID	Char 13	O		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
26-40	Systematic Agreement Amount	Num 15	O	13.2	Dollar amount of the systematic purchase agreement.
41-52	Monthly Payment Code	Alpha 1 occurs 12 times	O	N = No Y = Yes	The months in which the systematic agreement will be processed following the agreement month.

[illegible]

For setting systematic redemption options. Can be 0 to many of these data areas.

58

[illegible]

For setting up LOI options. Can be 0 to many of these data areas.

60

CUM Transaction Variable Repeatable Request Data (Examples on pages 94-100)

For setting rights of accumulation (ROA) options. Can be 0 to many of these data areas.

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Function ID	Alpha 3	O	CUM	
4	Process Type Code	Alpha 1	O	C = Create U = Update D = Delete	
5-9	Function Length	Num 5	O		The length of the copybook starting at the function-ID field. This is the length of the function information sent to the driver program.
10-12	Function Order Track Count	Num 3	O		This value is used to track the order of the functions processed by the Vision new account establishment and maintenance driver.
13-25	Security Issue ID	Char 13	O		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
26-45	Account Number	Char 20	O		The unique identifier for a shareowner account within a mutual fund.
46-54	ROA Number	Num 9	O		The number that links accounts for reduced sales charge accumulation.
55	Pre-Existing ROA Number Code	Alpha 1	O	N = No Y = Yes	

ADM Transaction Variable Repeatable Request Data (Example on page 102)

For setting additional mail options. Can be 0 to many of these data areas.

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Function ID	Alpha 3	O	ADM	
4	Process Type Code	Alpha 1	O	C = Create U = Update D = Delete	

Columns	Field Name	Field Type	M/O	Values	Description
5-9	Function Length	Num 5	O		The length of the copybook starting at the function-ID field. This is the length of the function information sent to the driver program.
10-12	Function Order Track Count	Num 3	O		This value is used to track the order of the functions processed by the Vision new account establishment and maintenance driver.
13-25	Security Issue ID	Char 13	O		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
26	Pre-Existing Additional Mail Code	Alpha 1	O	N = No Y = Yes	
27-29	Key Suffix	Num 3	O		
30-64	Registration Name 1	Char 35	O		First line of additional mail.
65-99	Registration Name 2	Char 35	O		Second line of additional mail.
100-134	Registration Name 3	Char 35	O		Third line of additional mail.
135-169	Registration Name 4	Char 35	O		Fourth line of additional mail.
170-204	Registration Name 5	Char 35	O		Fifth line of additional mail.
205-239	Registration Name 6	Char 35	O		Sixth line of additional mail.
240-274	Registration Name 7	Char 35	O		Seventh line of additional mail.
275-279	Zip Code	Num 5	O		The zip code of the additional mail.

660627 2295460

Columns	Field Name	Field Type	M/O	Values	Description
280	Foreign Address Code	Alpha 1	O	N = No Y = Yes	Designates whether or not the shareowner address is a foreign or domestic address. Yes = foreign address No = domestic address.

TRD Transaction Variable Repeatable Request Data (Example on page 103)

For setting telephone redemption options. Can be 0 to many of these data areas.

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Function ID	Alpha 3	O	TRD	
4	Process Type Code	Alpha 1	O	C = Create U = Update D = Delete	
5-9	Function Length	Num 5	O		The length of the copybook starting at the function-ID field. This is the length of the function information sent to the driver program.
10-12	Function Order Track Count	Num 3	O		This value is used to track the order of the functions processed by the Vision new account establishment and maintenance driver.
13-25	Security Issue ID	Char 13	O		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).

FID Transaction Variable Repeatable Request Data

For setting fiduciary account options. There can be 0 or one of these data areas.

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Function ID	Alpha 3	O	FID	
4	Process Type Code	Alpha 1	O	C = Create U = Update D = Delete	

Columns	Field Name	Field Type	M/O	Values	Description
5-9	Function Length	Num 5	O		The length of the copybook starting at the function-ID field. This is the length of the function information sent to the driver program.
10-12	Function Order Track Count	Num 3	O		This value is used to track the order of the functions processed by the Vision new account establishment and maintenance driver
13-22	Birth Date	Char 10	O	MM/DD/YYYY	Identifies the shareowner's date of birth.
23	Marital Status	Alpha 1	O	M = Married S = Single	Identifies the shareowners marital status as being married or single.

BEN Transaction Variable Repeatable Request Data (Example on page 81)

For setting IRA account beneficiary options. There can be 0 or one of these data areas.

Columns	Field Name	Field Type	M/O	Values	Description
1-3	Function ID	Alpha 3	O	BEN	
4	Process Type Code	Alpha 1	O	C = Create U = Update D = Delete	
5-9	Function Length	Num 5	O		The length of the copybook starting at the function-ID field. This is the length of the function information sent to the driver program.
10-12	Function Order Track Count	Num 3	O		This value is used to track the order of the functions processed by the Vision new account establishment and maintenance driver.
13-22	Primary Birth Date	Char 10	M	MM/DD/YYYY	Indicates the date of birth of the first primary beneficiary.

Columns	Field Name	Field Type	M/O	Values	Description
23-31	Primary Identification Number	Num 9	M		Indicates the tax identification or social security number for the first primary beneficiary.
32-46	Primary Relationship	Char 15	M		Indicates the relationship of the first primary beneficiary to the shareowner.
47-78	Primary Name 1	Char 32	M		Identifies the name of a primary beneficiary.
79-110	Primary Name 2	Char 32	M		Identifies the name or address of a primary beneficiary.
111-142	Primary Name 3	Char 32	M		Identifies the name or address of a primary beneficiary.
143-174	Primary Name 4	Char 32	M		Identifies the name or address of a primary beneficiary.
175-177	Primary Name Percent 1	Num 3	M		Identifies, in case of death, the percent of the shareowner account that should go to primary beneficiary 1.
178-180	Primary Name Percent 2	Num 3	M		Identifies, in case of death, the percent of the shareowner account that should go to primary beneficiary 2.
181-183	Primary Name Percent 3	Num 3	M		Identifies, in case of death, the percent of the shareowner account that should go to primary beneficiary 3.
184-186	Primary Name Percent 4	Num 3	M		Identifies, in case of death, the percent of the shareowner account that should go to primary beneficiary 4.
187-196	Secondary Birth Date	Char 10	M	MM/DD/YYYY	Indicates the date of birth of the first secondary beneficiary.

660627 2252460

Columns	Field Name	Field Type	M/O	Values	Description
197-205	Secondary Identification Number	Num 9	M		Indicates the tax identification or social security number of the first secondary beneficiary.
206-220	Secondary Relationship	Char 15	M		Indicates the relationship of the first secondary beneficiary to the shareowner.
221-252	Secondary Name 1	Char 32	M		Identifies the name of the secondary beneficiary.
253-284	Secondary Name 2	Char 32	M		Identifies the name of the secondary beneficiary.
285-316	Secondary Name 3	Char 32	M		Identifies the name of the secondary beneficiary.
317-348	Secondary Name 4	Char 32	M		Identifies the name of the secondary beneficiary.
349-351	Secondary Name Percent 1	Num 3	M		Identifies, in case of death, the percent of the shareowner account that should go to secondary beneficiary 1.
352-354	Secondary Name Percent 2	Num 3	M		Identifies, in case of death, the percent of the shareowner account that should go to secondary beneficiary 2.
355-357	Secondary Name Percent 3	Num 3	M		Identifies, in case of death, the percent of the shareowner account that should go to secondary beneficiary 3.
358-360	Secondary Name Percent 4	Num 3	M		Identifies, in case of death, the percent of the shareowner account that should go to secondary beneficiary 4.

Transaction Fixed Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-10	Transaction Header Batch Date	Char 10	M	MM/DD/YYYY	Purchase posting date.

660621 223460

Columns	Field Name	Field Type	M/O	Values	Description
11-19	ROA Number	Num 9	M		The number that links accounts for rights of accumulation.
20-28	LOI Number	Num 9	M		The number that links accounts that are included in a letter of intent agreement.
29-43	Queue Name 1	Num 15	M		Used on subsequent view calls for repositioning.
44-58	Queue Name 2	Num 15	M		Used on subsequent view calls for repositioning
59-61	Occurrences	Num 3	M	000-300	Number of times the variable response repeats.
62	Assigned ROA Code	Alpha 1	M	E = Existing N = New Z = Zero	Indicates what type of ROA number was assigned. Zero is assigned for when there are two or more related accounts that have different ROA numbers.

Transaction Variable Repeatable Response Data

Columns	Field Name	Field Type	M/O	Values	Description
1-13	Security Issue ID	Char 13	M		Identifies the mutual fund. This field contains a two-character country code (00), a nine-character CUSIP, a one-character check digit (0), and a one-character test code (P).
14-33	Account Number	Num 20	M		The unique identifier for a shareowner account within a mutual fund.
34	Initial Investment Past Cutoff Time	Alpha 1	M	Y = Yes N = No	Indicates whether or not the initial investment was processed after the fund cut-off time. If Yes is selected, the initial investment was processed after the fund cut-off time. Otherwise, No will appear in this field.

Error Messages

Error Code	Error Message	Description
NASU0001	The request failed because the Host System has detected a problem. Please call the Vision Help line at 800-435-4112 and report the error code below for assistance.	Severe system error has occurred.
NASU0002	The system is currently performing updates as a result of today's business. The information you have attempted to retrieve is temporarily unavailable. Please try again later. We apologize for the inconvenience. Please click the Back button on your browser to return to the previous page.	Files unavailable for read access due to system updates or file outages.
NASU0013	The fund is currently unable to process this request within the allotted time.	The fund is unable to process the request, either because of network overload or because the request cannot be processed within the allotted time.

660621 22352450

Chapter 5:

Vision Options Implementation Worksheet

Management Level Options

The table should be completed upon the initial implementation of Vision. The information will apply to all funds offered through Vision Mutual Fund Gateway. Any additions, changes, or deletions to the management level options must be communicated to the Vision Group.

Field Name	Description	Setting
Mutual Fund Company Name	The name of the mutual fund company (38 bytes). Displayed on the Vision management list exactly as indicated here.	
Standard Application Text and Legal Content	Does the fund choose to use the Vision standard application text and legal content?	<input type="checkbox"/> Yes <input type="checkbox"/> No

Chapter 6:

Field Descriptions and Definitions

Representative Information

The screenshot shows a web browser window titled "Vision - New Account Setup - Microsoft Internet Explorer". The page header for "GLOBAL PRIME INVESTORS FUNDS" includes the text "Establish New Account". The main heading is "Enter Representative Information". Below this, a message states: "The following information will be displayed on the application and/or submitted to the fund company. Please complete the required information and press the Next button to continue." The form contains the following fields: "Dealer Number: 0050000 - **IMP" (pre-filled), "Branch Number:" (empty), "Representative Number:" (empty), "Representative Name:" (empty), and "Representative Phone Number:" (empty). There are "Next", "Return to Menu", "Disclaimer", "Help", and "E-Mail us: Person Support" buttons. The footer reads "Copyright © 1999 DST Systems, Inc. All Rights Reserved."

Enter Representative Information—Dealer Number

Dealer Number, Dealer/Branch, Dealer/Representative

Depending on the dealer security level, this field will:

- display the dealer number, or
- allow you to select dealer/branch, dealer/representative or dealer number
- allow you to enter the dealer number

Branch Number

This field will either display the branch number or allow you to enter the branch number, depending on the dealer security level. If dealer security includes access to multiple dealer/branch combinations, this field will not appear.

Representative Number

This field will either display the representative number or allow you to enter the representative number, depending on the dealer security level. If dealer security includes access to multiple dealer/representative combinations, this field will not appear.

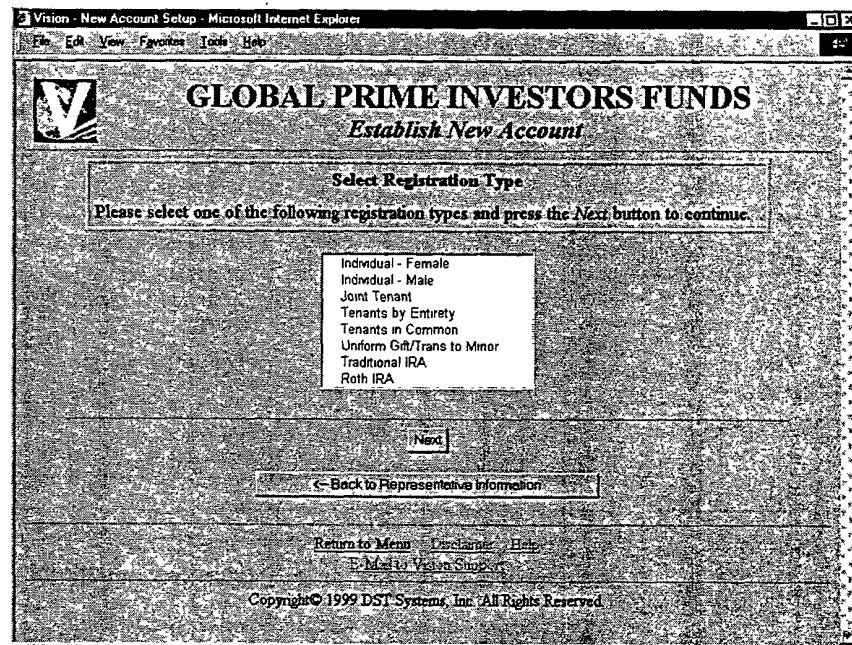
Representative Name

Enables you to enter the name of the representative.

Representative Telephone Number

Enables you to enter the representative's phone number.

Select Registration Type



Select Registration Type window

Registration Type

Allows you to select the type of account. Valid account types include

- Individual Male
- Individual Female
- Joint Tenants
- Tenants in Entirety

- Tenants in Common
- Uniform Gift to Minors
- Uniform Transfer to Minors
- Traditional IRA
- Roth IRA

Registration Information

The screenshot shows a web browser window titled "Vision - New Account Setup - Individual Male - Microsoft Internet Explorer". The page header for "GLOBAL PRIME INVESTORS FUNDS" includes the instruction "Establish New Account - Individual Male". The main heading is "Enter Registration Information", followed by the instruction "Please enter the required information and press the Next button to continue." The form fields are: First Name (text box), Middle Initial (text box), Last Name (text box), SSN (three text boxes), and Citizenship (radio buttons for "US Citizen" and "Resident Alien"). Navigation buttons include "Next", "< Back to Registration Type", "Return to Menu", "Disclaimer", "Help", and "E-Mail to Vision Support". The footer states "Copyright © 1999 DST Systems, Inc. All Rights Reserved."

Enter Registration Information—Individual

Vision - New Account Setup - Joint Account - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Joint Account

Enter Registration Information
Please enter the required information and press the Next button to continue.

Primary Shareowner

First Name:
Middle Initial:
Last Name:
SSN:

Citizenship
☐ US Citizen
☐ Resident Alien

Additional Shareowners

First Name	Middle Initial	Last Name	SSN (Optional)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>

Next

[Back to Registration Type](#)

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Enter Registration Information—Joint

Vision - New Account Setup - Joint Account - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Joint Account

Enter Registration Information
Please enter the required information and press the Next button to continue.

Primary Shareowner

First Name:
Middle Initial:
Last Name:
SSN:

Citizenship
☐ US Citizen
☐ Resident Alien

Spouse

First Name	Middle Initial	Last Name	SSN (Optional)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>

Next

[Back to Registration Type](#)

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Enter Registration Information—Tenants in Entirety

0047337 123099 660627 7E937460

Vision - New Account Setup - Joint Account - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Joint Account

Enter Registration Information
Please enter the required information and press the Next button to continue.

Primary Shareowner

First Name:
Middle Initial:
Last Name:
SSN:

Citizenship
☐ US Citizen
☐ Resident Alien

Additional Shareowners

First Name	Middle Initial	Last Name	SSN (Optional)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved

Enter Registration Information—Tenants in Common

Vision - New Account Setup - Uniform Gift/Trans to Minor - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Uniform Gift/Trans to Minor

Enter Registration Information
Please enter the required information and press the Next button to continue.

Custodian

First Name:
Middle Initial:
Last Name:
Donor State:

Citizenship
☐ US Citizen
☐ Resident Alien

Minor

First Name:
Middle Initial:
Last Name:
SSN:
(Optional for Minor SSN)
Birthdate: (MM/DD/YYYY)

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved

Enter Registration Information—Uniform Gift/Transfer to Minor

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Traditional IRA

Enter Registration Information
Please enter the required information and press the Next button to continue.

First Name:
Middle Initial:
Last Name:
SSN:
Birthdate: / /
Start Year: (optional)

Citizenship
☐ US Citizen
☐ Resident Alien
☐ Non-Resident Alien | Please Select a Country

Marital Status
☐ Married
☐ Single

[Return to Menu](#) [Documentation](#) [Help](#)
[E-Mail to Financial Services](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Enter Registration Information—Traditional IRA

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Roth IRA

Enter Registration Information
Please enter the required information and press the Next button to continue.

First Name:
Middle Initial:
Last Name:
SSN:
Birthdate: / /
Start Year: (optional)

Citizenship
☐ US Citizen
☐ Resident Alien
☐ Non-Resident Alien | Please Select a Country

Marital Status
☐ Married
☐ Single

[Return to Menu](#) [Documentation](#) [Help](#)
[E-Mail to Financial Services](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Enter Registration Information—Roth IRA

First Name

Enables you to enter the shareowner or custodian's first name or initial. This field is required.

Middle Initial

Enables you to enter the shareowner or custodian's middle initial. This field is optional.

Last Name

Enables you to enter the shareowner or custodian's last name. This field is required. Degrees, certifications or titles earned may be included with the last name.

Resident State

Enables you to select the state in which the gift to minor is being made. This field is required. Displayed only for UGMA/UTMA accounts.

SSN

The social security number is required for US citizens or resident aliens. The SSN is optional for joint shareowners and minors. If the fund company allows non-resident alien accounts, you may leave this field blank or enter all zeroes to establish a foreign account without a social security number.

Citizenship

Select **US Citizen** or **Resident Alien**. If the fund allows non-resident alien accounts, an additional button and country drop-down list will appear.

Additional Shareowners — First Name

Enables you to type the first name or initial for up to three additional shareowners. At least one additional shareowner is required. Displayed only for joint accounts.

Additional Shareowners — Middle Initial

Enables you to type the middle name initial for up to three additional shareowners. This field is optional. Displayed only for joint accounts.

Additional Shareowners — Last Name

Enables you to type the last name for up to three additional shareowners. This field is required. You may include degrees, certifications, or titles earned with the last name. Displayed only for joint accounts.

Additional Shareowners — SSN

Enables you to type the Social Security Numbers of up to three additional shareowners. This field is optional. Displayed only for joint accounts.

Minor — First Name

Enables you to type the minor's first name or initial. This field is required.
Displayed only for UGMA/UTMA accounts.

Minor — Middle Initial

Enables you to type the minor's middle name initial. This field is optional.
Displayed only for UGMA/UTMA accounts.

Minor — Last Name

Enables you to type the minor's last name. This field is required. You may include degrees, certifications, or titles earned with the last name. Displayed only for UGMA/UTMA accounts.

Minor — SSN

Enables you to type the minor's Social Security Number. This field is optional.
Displayed only for UGMA/UTMA accounts.

Birthdate

Enables you to type the shareholder's date of birth in numeric format. Displayed only for Traditional or Roth IRA registration types.

Start Year

Enables you to type the year the shareholder first opened a Roth IRA account.
Displayed only for Roth IRA registration types.

Marital Status

Enables you to select the shareholder's marital status. Married is selected by default. Displayed only for Traditional or Roth IRA registration types.

660623T 2234450

[illegible]

Enter Shareowner's Address

Enables you to enter the shareowner or custodian's street address. If a foreign address is being established, include the complete, city, province and country information. The number of address lines will vary depending on the type of account being established. The first line is required.

Enables you to enter the shareowner or custodian's city. This field is required. Displayed only for domestic addresses.

Enables you to select the shareowner or custodian's state abbreviation. This field is required. Displayed only for domestic addresses.

Enables you to enter the shareowner or custodian's five-digit ZIP code. This field is required. Displayed only for domestic addresses.

Bus. Phone

Enables you to enter the shareowner or custodian's business telephone number. This field is optional.

Home Phone

Enables you to enter the shareowner or custodian's home telephone number. This field is optional.

E-Mail

Enables you to enter the shareowner or custodian's e-mail address. This field is optional.

Verify Shareowner's Address

The screenshot shows a web browser window titled "Vision - New Account Setup -- Individual Male - Microsoft Internet Explorer". The page header includes "GLOBAL PRIME INVESTORS FUNDS" and "Establish New Account -- Individual Male". The main heading is "Verify Shareowner's Address". Below this, a text box states: "Please verify the shareowner's address as suggested by the US Postal Service and follow the instructions at the bottom of the page." The "Edited Address" is displayed as "3731 WYOMING ST APT 2N KANSAS CITY MO 64111-5855". There is an "AcceptAddress" button. A text box below the button reads: "Please press the Accept Address button if the address is correct. Otherwise, press the Back button on the toolbar to return to the Enter Shareowner's Address page and correct. Accepting the entered address may cause delays in mail processing if the address is incorrect." At the bottom, there are links for "Return to Menu", "Disclaimer", "Help", and "E-Mail to Vision Support". The footer states "Copyright © 1999 DST Systems, Inc. All Rights Reserved."

Verify Shareowner's Address

Edited Address

Displays the address as edited against the U.S. Post Office Finalist address database.

Accept Address

Click this button to accept the displayed address as the address of registration for the new account(s) being established.

Designate Beneficiaries

Version - Establish New Account - Traditional IRA - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Traditional IRA

Enter Beneficiary Information

Please enter the name, social security number, birthdate, and relationship for each beneficiary and press the **Next** button to continue. If you wish to designate additional beneficiaries, please contact the mutual fund company. Percentage for each IRA's primary and/or secondary beneficiary must add up to 100%.

Primary Beneficiary

The following individual(s) designated as primary beneficiary(ies) will receive payment of the value of the IRA account upon the shareholder's death. If no percentage is specified, primary beneficiaries will share the account balance equally.

Name: <input type="text"/>	Name: <input type="text"/>
SSN: <input type="text"/>	SSN: <input type="text"/>
Birthdate: <input type="text"/>	Birthdate: <input type="text"/>
Relationship: <input type="radio"/> Spouse <input type="radio"/> Other <input type="text"/>	Relationship: <input type="radio"/> Spouse <input type="radio"/> Other <input type="text"/>
% of Account: <input type="text"/>	% of Account: <input type="text"/>

Name: <input type="text"/>	Name: <input type="text"/>
SSN: <input type="text"/>	SSN: <input type="text"/>
Birthdate: <input type="text"/>	Birthdate: <input type="text"/>
Relationship: <input type="radio"/> Spouse <input type="radio"/> Other <input type="text"/>	Relationship: <input type="radio"/> Spouse <input type="radio"/> Other <input type="text"/>
% of Account: <input type="text"/>	% of Account: <input type="text"/>

Secondary Beneficiary

If a primary beneficiary(ies) is(are) living at the time of the shareholder's death, the balance will be distributed to the secondary beneficiary(ies) below. If no percentage is specified, secondary beneficiaries will share the account balance equally.

Name: <input type="text"/>	Name: <input type="text"/>
SSN: <input type="text"/>	SSN: <input type="text"/>
Birthdate: <input type="text"/>	Birthdate: <input type="text"/>
Relationship: <input type="radio"/> Spouse <input type="radio"/> Other <input type="text"/>	Relationship: <input type="radio"/> Spouse <input type="radio"/> Other <input type="text"/>
% of Account: <input type="text"/>	% of Account: <input type="text"/>

Name: <input type="text"/>	Name: <input type="text"/>
SSN: <input type="text"/>	SSN: <input type="text"/>
Birthdate: <input type="text"/>	Birthdate: <input type="text"/>
Relationship: <input type="radio"/> Spouse <input type="radio"/> Other <input type="text"/>	Relationship: <input type="radio"/> Spouse <input type="radio"/> Other <input type="text"/>
% of Account: <input type="text"/>	% of Account: <input type="text"/>

Next

[Back to Shareowner's Address](#)

[Return to Menu](#) [Default](#) [Help](#)

[Go to the Fund's Website](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Enter Beneficiary Information window

Enables you to enter up to four primary and up to four secondary IRA account beneficiaries.


Enables you to enter up to four primary and up to four secondary IRA account beneficiary social security numbers.

Enables you to enter up to four primary and up to four secondary IRA account beneficiary birth dates.

Enables you to indicate what percent of the shareholder's account will go to the stated IRA account beneficiaries (up to four primary and up to four secondary) upon the shareholder's death. If no percentage is specified, primary beneficiaries will share the account balance equally. The percentages for the IRA's primary and/or secondary beneficiaries must equal 100%.

Vision - New Account Setup - Individual Female - Microsoft Internet Explorer

File Edit View Favorites Tools Help



GLOBAL PRIME INVESTORS FUNDS

Establish New Account - Individual Female

Select a Fund
Please select the fund(s) to be established and press the Next button to continue.

Fund Name	Share Class	CUSIP	Ticker Symbol
GROWTH <input type="checkbox"/> CLIENT SERVICES SPECIALIZED PORTFOLIOS	CLASS A SHARES	CUSIP9700	CSPAIF
SHORT TERM MUNICIPAL <input type="checkbox"/> CLIENT SERVICES MONEY MARKET FUND	CLASS A SHARES	CUSIP3400	CSMBF
MONEY MARKET <input type="checkbox"/> NO-LOAD FUND	CLASS A SHARES	CUSIP9300	CSMMMF
STATE MUNICIPAL - SHORT TERM <input type="checkbox"/> CLIENT SERVICES LOAD FUND	CLASS A SHARES	331543101	CSLO
<input type="checkbox"/> CLIENT SERVICES LOAD TEST FUND	CLASS A SHARES	544004101	CSNLO

Next

Back to Shareowner's Address

Return to Menu Do I Need Help?
Home FAQ Contact Us Privacy Policy

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

82

Investment Amount

Vision - New Account Setup - Individual Female - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Individual Female

Enter Investment Amount
New accounts will be established in the fund(s) which have a dollar amount entered. Please enter a dollar amount for each fund to be established, select a payment type and press the Next button to continue.

Fund Name	Share Class	Minimum Investment	\$ Amount
CLIENT SERVICES SPECIALIZED PORTFOLIOS	CLASS A SHARES	\$ 100.00	<input type="text"/>
CLIENT SERVICES MONEY MARKET FUND	CLASS A SHARES	\$ 500.00	<input type="text"/>
NO-LOAD FUND	CLASS A SHARES	\$ 100.00	<input type="text"/>

Payment Type - Applies to all funds selected
☐ Electronically Debit Customer's Bank Account
☐ Mail Check to the Fund

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Enter Investment Amount—Non-IRA

Vision - New Account Setup - Traditional IRA - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Traditional IRA

Enter Investment Amount
New accounts will be established in the fund(s) which have a dollar amount entered. Please enter a dollar amount for each fund to be established, select a payment type and press the Next button to continue.

Fund Name	Share Class	Minimum Investment	Prior Year \$ Amount	Current Year \$ Amount
CLIENT SERVICES MONEY MARKET FUND	CLASS A SHARES	\$ 500.00	<input type="text"/>	<input type="text"/>
NO-LOAD FUND	CLASS A SHARES	\$ 100.00	<input type="text"/>	<input type="text"/>

IRA Fees and Information
IRA Fee Amount
(The IRA fee amount may only be paid by check.)

Payment Type - Applies to all funds selected
☐ Electronically Debit Customer's Bank Account
☐ Mail Check to the Fund

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Enter Investment Amount—Traditional IRA

0944337.12309
660827.28357460

Vision - New Account Setup - Roth IRA - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Roth IRA

Enter Investment Amount

Please enter a dollar amount for each fund to be established, select a payment type and press the **Next** button to continue. If the management company allows accounts to be established without an initial investment, the Waive Initial Investment column will display. When waiving the minimum initial investment, enter either a dollar amount less than the Minimum Investment or select the Waive Initial Investments check box for each fund.

Fund Name	Share Class	Minimum Investment	Current Yr \$ Amount	Waive Initial Investments
CLIENT SERVICES SPECIALIZED PORTFOLIOS	CLASS A SHARES	\$ 100.00		<input type="checkbox"/>
CLIENT SERVICES MONEY MARKET FUND	CLASS A SHARES	\$ 500.00		<input type="checkbox"/>
NO-LOAD FUND	CLASS A SHARES	\$ 100.00		<input type="checkbox"/>

There is an annual \$12 custodial fee per fund for Global Prime Investors. If you hold two or more accounts you will be charged a maximum of \$24. If your aggregate Global Prime Investors IRA balance is \$25,000 or more, the maximum custodial fee is \$12. Annual custodial fees are assessed on a calendar year basis. If the annual custodial fee is not paid by separate check, Investors Fiduciary Trust Company will automatically deduct the annual custodial fee from your account in the fourth quarter. You may pay the custodial fee for the first year by including it with your first contribution. If you elect to send the annual custodial fee by separate check in subsequent years, make sure to do so before the fourth quarter automatic deduction. Send a letter referencing the exact name on your account, the fund name and the account number.

IRA Fee Amount
(The IRA fee amount may only be paid by check.)

Payment Type - Applies to all funds selected
(Payment type not applicable when waiving the initial investment.)

☐ Electronically Debit Customer's Bank Account
☐ Mail Check to the fund

Next

[Back to Fund Selection](#)

[Return to Menu](#) [Disclaimer](#) [Help](#)
E-Mail to Vision Support

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Enter Investment Amount—Roth IRA

Fund Name

Displays the names of funds available for new account establishment through Vision.

Share Class

Displays the share class for all funds selected on the Select a Fund window.

Minimum Investment

Displays the minimum investment dollar amount required for the initial purchase.

\$ Amount (Non-IRA Accounts Only)

Enables you to enter the new account initial purchase dollar amount. Whole dollar purchases do not require a decimal point. An entry in the **\$ Amount** field is required unless the **Waive Initial Investments** option is checked.

Prior Year \$ Amount (IRA Accounts Only)

Enables you to enter the initial IRA contribution dollar amount for the **prior** tax year. Whole dollar purchases do not require a decimal point. An entry in either the **Prior Year \$ Amount** or the **Current Year \$ Amount** field is required unless the **Waive Initial Investments** option is checked.

This entry field is available only between January 1 and mid-April (usually April 15).

Current Year \$ Amount (IRA Accounts Only)

Enables you to enter the initial IRA contribution dollar amount for the **current** tax year. Whole dollar purchases do not require a decimal point. An entry in either the **Prior Year \$ Amount** or the **Current Year \$ Amount** field is required unless the **Waive Initial Investments** option is selected.

Waive Initial Investments (Check Box)

If this box appears in the right-hand column, the account will be settled via automatic investment and no initial investment is required. Funds may be selected by checking the **Waive Initial Investments** box or by entering an amount that is less than the **Minimum Investment**.

IRA Fee Amount

Enables you to enter the IRA fee amount should you choose to pay the IRA fee at time of new account establishment. Currently, IRA fees cannot be paid via ACH; fees must be paid by check.

Payment Type (Buttons)

- **Electronically Debit Customer's Bank Account**—Indicates that the account will be settled through an Automated Clearinghouse (ACH) purchase.
 - **Mail Check to the Fund**—Indicates that the account will be settled with a check accompanying the Account Application Remittance.
-

Bank Information

Vision - New Account Setup - Individual Male - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Individual Male

Enter Bank Information for Initial Investment
Please complete the required information and press the **Next** button to continue.

Enter a new Routing number and Bank Account number below.
Please refer to your check information for entry in the following fields:

Must be a Checking Account

Name on Account: MOUREK KOCLOUREK **Date:** 12/12/99

Pay to the order of: **Dollars:**

The Name of a Bank

Routing number: **Bank Account number:**
(The routing number is the first 9 digits, followed by the bank account number)

Next

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Enter Bank Information for Initial Investment

Name on Account

Displays the shareholder's account number, as identified by the fund company.

Routing Number

Displays the Federal Reserve's nine-digit routing identification number assigned to the shareholder's bank. The first four digits indicate the bank's Federal Reserve ID number, the second four digits indicate the American Banking Association (ABA) number, and the last digit is the check digit.

Bank Account Number

Displays the bank account number of the shareholder's bank. This account is the one to which funds are wired (in the case of a redemption) or from which payments are drawn (in the case of a pre-authorized purchase).

Set Up Account Options

Setup Account Options

Account Options

Setup/Change Distribution Options

When selected, enables dividend processing rules to be established and modified. These rules will default to reinvest both dividends and capital gains.

Setup/Change Automatic Investment

When selected, enables systematic Automated Clearinghouse (ACH) purchases to be established and modified. This option will display only if all the mutual funds selected allow ACH purchases.

Setup/Change Automatic Withdrawal

When selected, enables systematic withdrawals to be established and modified. This option will display only if all the mutual funds selected allow both ACH and check (draft) systematic withdrawals.

Setup/Change Rights of Accumulation (ROA)/Letter of Intent (LOI)

When selected, enables rights of accumulation (ROA) and letter of intent (LOI) information to be established and modified. If the fund company allows Auto ROA, Vision automatically assigns ROA numbers to all qualified related accounts. No ROA options will appear on the Setup Account Options window.

Setup/Change Interested Party

When selected, enables up to four names and addresses of interested parties to be established.

Change Telephone Redemption

When selected, enables telephone redemption options to be established and modified. These options default to telephone redemptions by check. This option will not display unless all the mutual funds selected allow telephone redemption.

Telephone Exchange (Check Box)

When selected, indicates that the shareowner is allowed to request exchanges by telephone. This field is optional.

Broker Options

Suitability Form

The new account suitability form helps the operator collect personal information to ensure that their customers' financial backgrounds are compatible with their investment selections. This information is not retained by the fund.

Brokerage Application

The brokerage application form allows the broker to develop detailed personal and financial profiles of new clients. It provides some of the same information as the Suitability Form, but brokers generally reserve the brokerage application for the initial purchases by new customers, and use the less detailed suitability form for subsequent purchases.

Distribution Options

Select Distribution Options

Fund(s) Selected Today

Displays the names of the funds selected for new account establishment.

Dividends (Buttons)

- **Reinvest**—Indicates that dividends earned will be reinvested in the new account. This is the default.
- **Cash**—Indicates that dividends earned will be paid out in cash.

Capital Gains (Buttons)

- **Reinvest**—Indicates that capital gains earned will be reinvested in the new account. This is the default.
- **Cash**—Indicates that capital gains earned will be paid out in cash.

Cash Distributions

If **Cash** is selected as a distribution option for dividends or capital gains, the shareowner can receive payment by check, direct deposit, or a deposit to an existing account. Cash distribution options vary from fund to fund and only the options available for the selected fund(s) will appear in this window.

- **Pay by Check**—Indicates that dividends and capital gains will be issued in check form.
- **Pay by Direct Deposit**—Indicates that dividends and capital gains will be transmitted to the shareowner's bank account specified on the Bank Information screen. This option will appear only if the mutual fund allows distributions to be paid by ACH.
- **Deposit to Existing Account**—Indicates that dividends and capital gains will be reinvested in another account.

Deposit to Existing Account

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Individual Male

Enter Deposit to Existing Account

Please select a fund and enter an account number for each mutual fund listed below and press the **Next** button to continue. The fund account must be an existing account.

Fund(s) Selected Today	Account Information
68 MFB FUND - MIRRORS TEBF FUND 68	Fund: 28 MFB FUND - MIRRORS GVT FUND 22
	Account Number: <input type="text"/>
	Next

[Return to Menu](#) [Back](#) [Help](#)

[Email to Vision Systems](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Enter Deposit to Existing Account

Fund

From the drop-down list, select the name of the fund in which dividends and capital gains from the new account should be reinvested.

Account Number

Enter the number of the existing account in which dividends and capital gains from the new account should be reinvested.

Automatic Investment

Enter Automatic Investment

Plan Starting Month

Indicate the month in which automatic investments will begin by selecting a button. The current month is the default. The start date will be the first business day of the month selected.

Frequency

Select the frequency by clicking **Every Month** or by checking at least one box to indicate the month(s) in which systematic investment should occur.

Funds Selected Today

Displays the names of funds that allow automatic investment from the Select A Fund window. If the initial investment was waived on the Enter Investment Amount window, two red asterisks to the left of the fund name indicate that automatic investment is required.

\$ Amount

Input the amount to be invested based on the investment frequency. If a systematic plan is selected, at least one field is required.

Minimum Investment

Displays the mutual fund's minimum investment amount.

Investment Days

Select the day(s) of the month to invest in the new account. Two days per fund may be selected by using the drop-down lists.

Automatic Withdrawal

Enter Automatic Withdrawal

Plan Starting Month

Indicate the month in which automatic withdrawal begins by selecting a button. The button for the current month is the default. The start date will be the first business day of the month selected.

Frequency

Indicate the frequency of automatic withdrawal by clicking **Every Month** or by selecting at least one withdrawal month.

Funds Selected Today

Displays the funds that allow ACH or check (draft) systematic withdrawals from the list of funds selected in the Select a Fund window. An error message will appear next to the fund name if the fund selected does not allow automatic withdrawal.

Amount

Input the amount to be withdrawn based on the frequency specified. If a systematic withdrawal plan is selected, at least one field is required.

Withdrawal Day of Month

Specify the day of the month on which withdrawals will be processed by selecting one day per fund from the drop-down list.

If JavaScript is disabled on your Internet browser, this field will not appear on the Enter Automatic Withdrawal window. Fill in the other fields and click **Next** to access an additional window where you can specify the withdrawal day.

Payment Type (Buttons)

- **Pay by Check**—Indicates that the withdrawal should be issued in check form and sent to the shareowner's address as indicated on the Shareowner Address window.
- **Pay by Direct Deposit**—Indicates that ACH withdrawals should be sent to the bank account specified on the Bank Account Information window. This is the default payment type.

Rights of Accumulation/Letter of Intent

The screenshot shows a web browser window titled "Vision - New Account Setup - Individual Male - Microsoft Internet Explorer". The main heading is "GLOBAL PRIME INVESTORS FUNDS" with the subheading "Establish New Account - Individual Male". Below this, a text box says "Select Letter of Intent (LOI) / Rights of Accumulation (ROA)" and "Please select an option to establish and press the Next button to continue. Either option affects all eligible funds selected today." There are two radio button options: "Establish Rights of Accumulation (ROA)" and "Establish both Letter of Intent (LOI) / Rights of Accumulation (ROA)". A "Next" button is located below these options. At the bottom, there are links for "Return to Menu", "Disclaimer", "Help", and "E-Mail to Vision Support". The footer text reads "Copyright © 1999 DST Systems, Inc. All Rights Reserved."

Select Letter of Intent (LOI)/ Rights of Accumulation (ROA)

This window allows you to:

- Establish rights of accumulation for the new account, or
- Establish both a letter of intent and rights of accumulation for the new account

If Auto ROA is enabled for this fund and social code, this window will not appear. New accounts will be automatically grouped for rights of accumulation and you will advance to the Select LOI Option window.

Establish Rights of Accumulation

Vision - New Account Setup - Individual Male - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Individual Male

Select Rights of Accumulation (ROA) Option
This option applies to selected funds that allow Rights of Accumulation agreements.
Please select an option and press the Next button to continue.

☒ Link new accounts to an existing ROA number
Select a fund and enter the account number

Existing Fund: CLIENT SERVICES SPECIALIZED PORTFOLIOS ▾

Account:

☐ Link new accounts to a new ROA number

Next

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Select Rights of Accumulation (ROA) Option

Link New Accounts to an Existing ROA Number

Existing Fund

Use the drop-down box to select a fund that contains an ROA number that should be linked to the new accounts.

Account Number

Enter the account number of an account that contains an ROA number that should be linked to the new accounts.

Link New Accounts to a New ROA Number

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Individual Male

Establish New ROA

Existing accounts may also be linked to new accounts being established for ROA. Where applicable, enter up to five existing accounts by selecting a fund and entering an account number. If there are no existing accounts to be linked, please click *Next* to continue.

Link Existing Accounts

Fund Name	Existing Account Number
CLIENT SERVICES SPECIALIZED PORTFOLIOS	
CLIENT SERVICES SPECIALIZED PORTFOLIOS	
CLIENT SERVICES SPECIALIZED PORTFOLIOS	
CLIENT SERVICES SPECIALIZED PORTFOLIOS	
CLIENT SERVICES SPECIALIZED PORTFOLIOS	

Next

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Establish New ROA

Fund Name

Use the drop-down box to select a fund that contains an ROA number that should be linked to the new accounts.

Existing Account Number

Enter the number of the existing account that should be linked to the new ROA number.

Establish Both LOI and ROA

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Individual Male

Select Letter of Intent (LOI) / Rights of Accumulation (ROA) Option
The options below apply to all selected funds. Please select an option and press the Next button to continue.

☐ Link New Accounts to Existing LOI and ROA Numbers
Select a fund and enter the number of the account containing LOI and ROA numbers that should be linked to the new accounts.
Existing Fund: CLIENT SERVICES SPECIALIZED PORTFOLIOS
Account:

☐ Link New Accounts to a New LOI and a New ROA Number

☐ Link New Accounts to a New LOI Number and an Existing ROA Number
Select a fund and enter the number of the account containing an ROA number that should be linked to the new accounts.
Existing Fund: CLIENT SERVICES SPECIALIZED PORTFOLIOS
Account:

☐ Link New Accounts to an Existing LOI Number and a New ROA Number
Select a fund and enter the number of the account containing an LOI number that should be linked to the new accounts. A new ROA number will be established.
Existing Fund: CLIENT SERVICES SPECIALIZED PORTFOLIOS
Account:

Next

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Select Letter of Intent (LOI)/Rights of Accumulation (ROA) Option

Link New Accounts to Existing LOI and ROA Numbers

Existing Fund

Use the drop-down list to select the name of a fund containing an LOI and/or ROA number that should be linked to the new accounts.

Account

Enter the number of the account containing an LOI and/or ROA number that should be linked to the new accounts.

Link New Accounts to New LOI and ROA Numbers

Establish New LOI/ROA

Select an Amount for LOI

This drop-down list contains the available LOI agreement amounts.

Fund Name

Use the drop-down list to select the names of funds that should be linked to the new LOI/ROA number.

Existing Account Number

Enter the number of the existing account(s) that should be linked to the new LOI/ROA number.

Link New Accounts to a New LOI Number and an Existing ROA Number

Existing Fund

Use the drop-down list to select the name of a fund containing an ROA number that should be linked to the new accounts.

Account

Enter the number of the account containing an ROA number that should be linked to the new accounts.

Click Next to open the Establish New LOI window.

Establish New LOI

Select an Amount for LOI

This drop-down list contains the available LOI agreement amounts.

Fund Name

Use the drop-down list to select the names of funds that should be linked to the new LOI.

Existing Account Number

Enter the number of the existing account(s) that should be linked to the new LOI.

0047337 123099
660827 22352450

Link New Accounts to an Existing LOI Number and a New ROA Number

Existing Fund

Use the drop-down list to select the name of an account containing an LOI that should be linked to the new accounts.

Account

Enter the number of the account containing an LOI that should be linked to the new accounts.

Click **Next** to advance to the Establish New ROA window. See page 96 for a description of the controls in this window.

Auto ROA

If the fund company allows Auto ROA, Vision automatically assigns ROA numbers to all qualified related accounts. The Select Letter of Intent (LOI) option will appear when you click the Letter of Intent hyperlink on the Setup Account options window.

Select Letter of Intent (LOI) Option

Link New Accounts to an Existing LOI Number

Existing Fund

Use the drop-down list to select the name of a fund containing an existing LOI number that should be linked to the new accounts.

Account

Enter the number of the account containing an LOI number that should be linked to the new accounts.

Link New Accounts to a New LOI Number


Selecting this option will open the Establish New LOI window. See page 99 for a description of the controls on this window.

650627 2332450

Interested Party

Vision - New Account Setup - Individual Male - Microsoft Internet Explorer

File Edit View Favorites Tools Help

 **GLOBAL PRIME INVESTORS FUNDS**
Establish New Account - Individual Male

Enter Interested Party

Please select an address type and enter the name, address, city, state and zip code for each interested party and press the **Next** button to continue. For Domestic address, please type the two character state code following the city. This option affects all funds selected today.

Address Type	Address Type
<input type="radio"/> Domestic	<input type="radio"/> Domestic
<input type="radio"/> Foreign	<input type="radio"/> Foreign
Name & Address	Name & Address
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

Address Type	Address Type
<input type="radio"/> Domestic	<input type="radio"/> Domestic
<input type="radio"/> Foreign	<input type="radio"/> Foreign
Name & Address	Name & Address
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

Next

[Return to Menu](#) [Disclaimer](#) [Help](#)

[E-Mail for Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Enter Interested Party

Address Type

Designates the address of an interested party as a domestic or foreign address.

Name and Address

Enter the name and address for the Interested Party. Lines 2 through 6 are for an address, city, state and zip code. This information is optional. City, state and zip code must be entered in the following format:

CITY NAME, STATE CODE (TWO CHARACTERS) ZIP CODE

Select Telephone Redemption

Fund Selected Today	Telephone Redemption Option
CLIENT SERVICES SPECIALIZED PORTFOLIOS	<input checked="" type="radio"/> Allow telephone redemptions by check <input type="radio"/> Allow telephone redemptions by check or direct deposit <input type="radio"/> Do not allow telephone redemptions
CLIENT SERVICES MONEY MARKET FUND	<input checked="" type="radio"/> Allow telephone redemptions by check <input type="radio"/> Allow telephone redemptions by check or direct deposit <input type="radio"/> Do not allow telephone redemptions
NO-LOAD FUND	<input checked="" type="radio"/> Allow telephone redemptions by check <input type="radio"/> Allow telephone redemptions by check or direct deposit <input type="radio"/> Do not allow telephone redemptions

[Next](#)

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Select Telephone Redemption

Funds Selected Today

Displays the name of the funds selected on the Select a Fund window. Only the mutual funds that allow telephone redemption will appear here.

Telephone Redemption Options (Buttons)

- **Allow telephone redemptions by check**—Indicates that telephone redemptions should be issued by check. This is the default.
- **Allow telephone redemptions by check or direct deposit**—Indicates that telephone redemptions can be issued by either check or ACH.
- **Do not allow telephone redemptions**—Disallows telephone redemptions for the new accounts.

Select Telephone Exchange

Vision - New Account Setup - Individual Male - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Individual Male

Select Telephone Exchange

Please select the mutual funds to allow telephone exchange processing. A mutual fund listed with a check box is pre-selected by the management company to allow telephone exchange. Please un-select the mutual funds to not allow telephone exchange processing.

Fund Name
<input checked="" type="checkbox"/> CLIENT SERVICES SPECIALIZED PORTFOLIOS
<input checked="" type="checkbox"/> CLIENT SERVICES MONEY MARKET FUND
<input checked="" type="checkbox"/> NO LOAD FUND

Next

[Return to Menu](#) [Discontinue](#) [Help](#)
[E-Mail to Vision Support](#)

Copyright © 1999 DST Systems, Inc. All Rights Reserved

Select Telephone Exchange

Fund Name

Indicates the funds available for the telephone exchange option. If a check box is not displayed, telephone exchange is automatically turned on for that fund.

Brokerage and Suitability Forms

From the Set Up Account options window, the operator can select either one of two forms to determine ensure a good match between the fund, the investment selections, and the customer's financial background. You can access either of these electronic forms any time during new account establishment from the hyperlinks at the bottom of the Set Up Account Options window.

Suitability Form

The New Account Suitability form allows the operator to compile personal information about customers to ensure their financial backgrounds are compatible with their investment selections. This information is not retained by the fund.

Brokerage Application

The Brokerage Application form allows the broker to develop detailed personal and financial profiles of new clients. It provides some of the same information as the Suitability Form, but brokers generally reserve the brokerage application for the initial purchase by a new customer, and complete the less detailed suitability

form for subsequent purchases. This information is often used to establish a new account with the brokerage and is not retained by the fund.

09475637 122099
660227 282460

New Account Suitability Information

C:\nasu\ suitabilityapp.html - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Enter New Account Suitability Information

The following questions represent information required by your broker to produce a Suitability Application for the new accounts being established. Please enter the applicable information and press the Next button to continue. If you are not certain of a particular value, please make a reasonable estimation.

Personal Information

Investor Name: SIDONIE GABRIELLE COLETTE
 Occupation:
 Nature of Business:
 SSN: 264-11-7472
 Birthdate: (MM/DD/YYYY)
 Home Phone Number:
 Business Phone Number: (816) 435-8105
 Marital Status: ☐ Single ☐ Married ☐ Widowed
 Number of Dependents:
 Tax Bracket: %
 Annual Income: \$
 Liquid Assets: \$
 Net Worth: \$ (excluding home and personal property)
 Is the Investor employed by or associated with a member firm of NASD? ☐ Yes ☐ No

Investment Information

Fund Name (CUSIP)	Share Class	Initial Investment Amount
CLIENT SERVICES MONEY MARKET FUND (CUSIP3400)	CLASS A SHARES	\$ 30.00
NO-LOAD FUND (CUSIP9300)	CLASS A SHARES	\$ 100.00
CLIENT SERVICES LOAD FUND (331543101)	CLASS A SHARES	\$ 0.00
CLIENT SERVICES LOAD TEST FUND (54004107)	CLASS A SHARES	\$ 200.00
Total:		\$ 330.00

Source of Funds <input type="checkbox"/> Inheritance <input type="checkbox"/> Rollover <input type="checkbox"/> Pension Distribution <input type="checkbox"/> Personal <input type="checkbox"/> Transfer <input type="checkbox"/> Other <input type="text"/>	Purpose(s) of Investment <input type="checkbox"/> Retirement <input type="checkbox"/> Professional Management <input type="checkbox"/> Diversified Investment <input type="checkbox"/> Accumulated Savings <input type="checkbox"/> Gift <input type="checkbox"/> Other <input type="text"/>	Portfolio Objective(s) <input type="checkbox"/> Growth <input type="checkbox"/> Income <input type="checkbox"/> Safety of Principal <input type="checkbox"/> Total Return <input type="checkbox"/> Tax Deferral <input type="checkbox"/> Other <input type="text"/>
---	---	--

Investment Experience:
 Years of Investing:
☐ Stocks
☐ Bonds
☐ Mutual Funds
☐ Partnerships
☐ Options
☐ Other

Broker Use Only
 Broker Reference Number:

Next

[Return to Menu | Disclaimer | Help | External Vision Support]

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

New Account Suitability Information

Personal Information

Investor Name

Displays the shareowner's name as it appears on the Enter Registration Information window.

Occupation

An entry field for the primary shareowner's occupation.

Nature of Business

An entry field for a brief description of the primary shareowner's occupation.

SSN

Allows entry of the primary shareowner's social security number if none was specified on the Enter Registration Information window.

Birthdate

Allows entry of the primary shareowner's date of birth if none was specified on the Enter Registration Information window. It must be entered in the MM/DD/YYYY format.

Home Phone Number

Enables you to enter the primary shareowner's home phone number if none was indicated on Enter Shareowner Address window.

Business Phone Number

Enables you to enter the primary shareowner's business phone number if none was indicated on Enter Shareowner Address window.

Marital Status

Click one of the buttons to indicate the marital status of the investor.

Number of Dependents

Enables you to enter the number of dependents claimed by the investor.

Tax Bracket

Enables you to enter the investor's federal income tax percentage.

Annual Income

Enables you to enter the investor's annual income.

650627 2232460

Liquid Assets

Enables you to enter the amount of the investor's liquid assets.

Net Worth

Enables you to indicate the investor's net worth (excluding home and personal property).

Is the Investor employed by or associated with a member firm or NASD?

Enables you to indicate whether the investor is employed by or associated with a member firm of the National Association of Securities Dealers (NASD).

Joint Investor Information

Joint Investor

Displays the minor or first shareowner specified on a joint account as it appears on the Enter Registration Information window.

Occupation

An entry field for the joint investor's occupation.

Nature of Business

An entry field for a brief description of the joint investor's occupation.

SSN

Allows entry of the joint investor's social security number if none was specified on the Enter Registration Information window.

Birthdate

Allows entry of the joint investor's date of birth if none was specified on the Enter Registration Information window. It must be entered in the MM/DD/YYYY format.

Home Phone Number

Enables you to enter the joint investor's home phone number if none was indicated on Enter Shareowner Address window.

Business Phone Number

Enables you to enter the joint investor's business phone number if none was indicated on Enter Shareowner Address window.

Annual Income

Enables you to enter the joint investor's annual income.

Liquid Assets

Enables you to enter the amount of the joint investor's liquid assets.

Net Worth

Enables you to indicate the joint investor's net worth (excluding home and personal property).

Tax Bracket

Enables you to enter the joint investor's federal income tax percentage.

*Minor Information***Minor Name**

Displays the minor's name if listed on the Enter Registration Information window.

Minor SSN

Enables you to enter the minor's Social Security number (the SSN will fill in automatically if it was entered on a previous window).

Minor Birthdate

Enables you to enter the minor's date of birth.

*Investment Selection***Fund Name (CUSIP)**

Displays the name(s) of the fund(s) indicated on the Select a Fund window.

Share Class

Displays the share class of all funds indicated on the Select a Fund window.

Initial Investment Amount

Displays the initial investment amount for each fund.

Total

Displays the total dollar amount for all new accounts being established.

00475637 123099
660227 2692460

Payment Type

Displays the method of payment chosen for the investment selections.

Source of Funds

Check one or more boxes to indicate how the investment will be funded or use the "Other" box to specify a source that is not on this list.

Purpose(s) of Investment

Check one or more boxes to indicate the reasons for the investment selections funded or use the "Other" box to specify a reason that is not on this list.

Portfolio Objective(s)

Check one or more boxes to indicate the objectives of the mutual funds selected use the "Other" box to specify an objective that is not on this list.

Investment Experience

Enter the number of years and check one or more boxes to indicate the type of investment experience. You can also use the "Other" box to specify any investment experience that is not on this list.

Broker Use Only

Broker Reference Number

Enables you to assign a broker reference number to this trade.

Once all the information is entered, click **Next**. The Verify New Account Suitability Information window appears.

If all the information is correct, click **Next** to return to the Setup Account Options window, or click **Back** to correct any errors.

When you have selected all the options for this account, click **Next** to advance to the Account Application Verification window.

660227 22952460

Broker Application

C:\Anas\Brokerapp.html - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Enter Broker Application Information

The following questions represent information required by your broker to produce a Brokerage Application for new accounts being established. Please enter the applicable information and press the **Next** button to continue. If you are not certain of a particular value, please make a reasonable estimation.

Personal Information

Account Identifier: ☐ New Customer ☐ Existing Customer

Employee Account: ☐ Yes ☐ No

Investor Name: SIDONIE-GABRIELLE COLETTE

Occupation:

Nature of Business:

Employer Name:

Employer Address:

Number of Years Employed:

SSN: 264-11-7472

Birthdate (MM/DD/YYYY):

Home Phone Number:

Business Phone Number: (816)435-8105

Address: 3731 WYOMING ST APT 2N
KANSAS CITY MO 64111-5835

Type: Joint Tenant

Citizenship: Resident Alien

Marital Status: ☐ Single ☐ Married ☐ Widowed

Number of Dependents:

Annual Income: \$

Liquid Assets: \$

Net Worth: \$ (excluding home and personal property)

Tax Bracket: %

Is the Investor(s) licensed as a Registered Representative? ☐ Yes ☐ No

If yes, broker/dealer name:

Is Investor(s) related to a Registered Representative? ☐ Yes ☐ No

If yes, name of Registered Representative:

Is the Investor(s) director/officer of a publicly traded company? ☐ Yes ☐ No

If yes, name of company:

Is the Investor(s) 10% owner of a publicly traded company? ☐ Yes ☐ No

If yes, name of company:

Is the Investor employed by or associated with a member firm of NASD? ☐ Yes ☐ No

Broker Application Information window (Part I)

Broker Application Information window (Part II)

Personal Information

Account Identifier

Click one of these buttons to indicate whether the investor is a new or existing customer.

Employee Account

Click one of these buttons to indicate whether the investor is an employee of the brokerage firm.

Investor Name

Displays the shareowner's name as indicated on the Enter Registration Information window.

Occupation

Enables you to indicate the investor's occupation.

Nature of Business

Enables you to enter a brief description of the investor's occupation.

Employer Name

Enables you to enter the name of the investor's employer.

Employer Address

Enables you to indicate the address of the investor's employer.

Number of Years Employed

Enables you to specify the number of years the investor has been employed.

SSN

Enables you to enter the investor's Social Security number if none was specified on the Enter Registration Information window.

Birthdate

Allows entry of the joint investor's date of birth if none was specified on the Enter Registration Information window. It must be entered in the MM/DD/YYYY format.

Home Phone Number

Enables you to enter the investor's home telephone number.

09475637-123059
660E27-CE97460

Business Phone Number

Enables you to enter the investor's business telephone number (the number will fill in automatically if it was listed on a previous window).

Address

Displays the investor's address as indicated on the Enter Shareowner Address window.

Type

Displays the type of registration.

Citizenship

Displays the shareowner's citizenship as specified on the Enter Registration Information window.

Marital Status

Click one of these buttons to indicate the marital status of the investor.

Number of Dependents

Enables you to enter the number of dependents claimed by the investor.

Annual Income

Enables you to enter the investor's annual income.

Liquid Assets

Enables you to enter the amount of the investor's liquid assets.

Net Worth

Enables you to indicate the investor's net worth (excluding home and personal property).

Tax Bracket

Enables you to enter the investor's federal income tax percentage.

Is investor licensed as a Registered Representative?

Click one of these buttons to indicate whether the investor is licensed as a Registered Representative.

If yes, broker/dealer name

If yes, (above), the name of the broker/dealer.

Is investor related to a Registered Representative?

Click one of these buttons to indicate whether the investor is related to a Registered Representative.

If yes, name of Registered Representative

If yes (above), enter the Registered Representative's name.

Is investor a director/officer of a publicly traded company?

Click one of these buttons to indicate whether the investor is a director or officer of a publicly traded company.

If yes, name of company

If yes (above), enter the name of the company.

Is investor employed by, or associated with, a member firm of NASD?

Click one of these buttons to indicate whether the investor is employed by, or associated with, a member firm of the National Association of Securities Dealers (NASD).

Joint Investor Information

Joint Investor

Displays the minor or first shareowner specified on a joint account as it appears on the Enter Registration Information window.

Occupation

An entry field for the joint investor's occupation.

Nature of Business

An entry field for a brief description of the joint investor's occupation.

Employer Name

Enables you to enter the name of the joint investor's employer.

Employer Address

Enables you to indicate the address of the joint investor's employer.

Number of Years Employed

Enables you to specify the number of years the joint investor has been employed.

09475637 123099
660627 2392460

SSN

Allows entry of the joint investor's social security number if none was specified on the Enter Registration Information window.

Birthdate

Allows entry of the joint investor's date of birth if none was specified on the Enter Registration Information window. It must be entered in the MM/DD/YYYY format.

Home Phone Number

Enables you to enter the joint investor's home phone number if none was indicated on Enter Shareowner Address window.

Business Phone Number

Enables you to enter the joint investor's business phone number if none was indicated on Enter Shareowner Address window.

Annual Income

Enables you to enter the joint investor's annual income.

Liquid Assets

Enables you to enter the amount of the joint investor's liquid assets.

Net Worth

Enables you to indicate the joint investor's net worth (excluding home and personal property).

Tax Bracket

Enables you to enter the joint investor's federal income tax percentage.

Minor Information

Minor Name

Displays the minor's name if listed on the Enter Registration Information window.

Minor SSN

Enables you to enter the minor's Social Security number (the SSN will fill in automatically if it was entered on a previous window).

0947537 13099
660627 2E957460

Minor Birthdate

Enables you to enter the minor's date of birth.

Investment Selection

Fund Name (CUSIP)

Displays the name(s) of the fund(s) indicated on the Select a Fund window.

Share Class

Displays the share class of all funds indicated on the Select a Fund window.

Initial Investment Amount

Displays the initial investment amount for each fund.

Total

Displays the total dollar amount for all new accounts being established.

Purchase Type

Displays the method of payment chosen for the investment selections.

Source(s) of Funds

Enables you to indicate the source(s) of the investment dollars.

Purpose(s) of Investment

Enables you to indicate the reason(s) for the investment.

Portfolio Objective(s)

Enables you to indicate the objective(s) of the mutual fund selected.

Investment Experience

Enables you to indicate the amount and type of the investor's experience.

Portfolio Time Horizon

Enables you to indicate the time frame for the investor's future investments.

Risk Exposure

Enables you to indicate the degree of exposure the investor is willing to risk.

Dealer Information

Dealer Name

Displays the name of the dealer as shown on the Enter Representative Information window.

Dealer/Branch Number

Displays the dealer and branch number shown on the Enter Representative Information window.

Representative Name

Displays the name of the representative as shown on the Enter Representative Information window.

Representative Phone Number

Enables you to enter the dealer representative's phone number.

Reference Information

Broker Reference

Enables you to enter a broker reference number for the investor.

Personal Reference

Enables you to enter a personal reference number for the investor.

Bank Reference

Enables you to enter a bank reference number for the investor.

Broker Use Only

Broker Trade Reference Number

Enables you to assign a broker reference number to this trade.

Once all the information is entered, click **Next**. The Verify Broker Application Information window appears.

If all the information is correct, click **Next** to return to the Setup Account Options window, or click **Back** to correct any errors.

When you have selected all the options for this account, click **Next** to advance to the Account Application Verification window.

Account Application Verification


The Account Application Verification window allows for the review of all information entered prior to printing or submitting the new account for setup.

There are several versions of this window depending on the account type and payment method. If the initial investment will be paid via ACH, bank instructions will appear in this window. For payment by check, click the **Display/Print Application** button to print a copy of the application that you can mail to the fund with the check.

0347537.12099
660627 22957450

3 Vision - New Account Setup - JOINT TENANT - Microsoft Internet Explorer

File Edit View Favorites Tools Help

 **GLOBAL PRIME INVESTORS FUNDS**
Establish New Account - JOINT TENANT

Today's date: 09/28/1999 12:51:17 PM CST

Account Application Verification

Please page down to review the information below and use the back button to return to the appropriate page to make any changes before submitting and/or printing.

Registration Information

SIDONIE GABRIELLE COLETTE &
HENRI DE JOUVENAL ITWROS
3731 WYOMING ST APT 2N
KANSAS CITY MO 64111-3855

Type: JOINT TENANT
SSN: 264-11-7472
Citizenship: Resident Alien
Bus. Phone: (816) 433-8103
E-mail: sgc@chrsi.com

Investment Selection

Fund Name (CUSIP)	Share Class	Initial Investment Amount
CLIENT SERVICES SPECIALIZED PORTFOLIOS (CUSIP9700)	CLASS A SHARES	\$ 0.00
CLIENT SERVICES MONEY MARKET FUND (CUSIP3400)	CLASS A SHARES	\$ 0.00
NO-LOAD FUND (CUSIP9300)	CLASS A SHARES	\$ 50.00
CLIENT SERVICES LOAD FUND (531-545100)	CLASS A SHARES	\$ 250.00
CLIENT SERVICES LOAD TEST FUND (544004100)	CLASS A SHARES	\$ 225.00

Payment Type: Electronically Debit Customer's Bank Account Total: \$ 525.00

Bank Account Information for Initial Investment

Bank Name: PEOPLES BANK OF MISSOURI
Bank Address: PO BOX 419226
KANSAS CITY MO 64141-0000
Account Number: 123456789
ABA Routing#: 101000693

Account Information

Distribution:

CLIENT SERVICES SPECIALIZED PORTFOLIOS	Reinvest dividends Reinvest capital gains
CLIENT SERVICES MONEY MARKET FUND	Pay dividends by check Pay capital gains by check
NO-LOAD FUND	Pay dividends by direct deposit Pay capital gains by direct deposit
CLIENT SERVICES LOAD FUND	Reinvest dividends and capital gains to NO-LOAD FUND Account: 3000 Registration Information DEBBIE R LOPEZ 503 PACIFIC DE BELTON MO 64012-2935
CLIENT SERVICES LOAD TEST FUND	Pay dividends by check Pay capital gains by check

Bank Account Information for Distribution

Bank Name: PEOPLES BANK OF MISSOURI
Bank Address: PO BOX 419226
KANSAS CITY MO 64141-0000
Account Number: 123456789
ABA Routing#: 101000693

Account Application Verification (Part I)

2 Vision - New Account Setup - JOINT TENANT - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Automatic Investment: Starting Month: Sep Frequency: Apr Sep

Funds Selected Today

Fund Name	Amount	Investment Day(s)
CLIENT SERVICES SPECIALIZED PORTFOLIOS	\$100.00	01
CLIENT SERVICES MONEY MARKET FUND	\$50.00	15
NO-LOAD FUND	\$25.00	01
CLIENT SERVICES LOAD FUND	\$75.00	15
CLIENT SERVICES LOAD TEST FUND	\$120.00	01

Bank Account Information for Automatic Investment:
 Bank Name: PEOPLES BANK OF MISSOURI
 Bank Address: PO BOX 419226
 KANSAS CITY MO 64141-0000
 Account Number: 123456789
 ABA Routing: 101000091

Automatic Withdrawal: Starting Month: Sep Frequency: May Oct

Funds Selected Today

Fund Name	Amount	Withdrawal Day	Payment Type
CLIENT SERVICES SPECIALIZED PORTFOLIOS	\$30.00	15	Direct Deposit
CLIENT SERVICES MONEY MARKET FUND	\$300.00	01	Check
CLIENT SERVICES LOAD FUND	\$75.00	01	Direct Deposit
CLIENT SERVICES LOAD TEST FUND	\$150.00	15	Check

Bank Account Information for Automatic Withdrawal:
 Bank Name: PEOPLES BANK OF MISSOURI
 Bank Address: PO BOX 419226
 KANSAS CITY MO 64141-0000
 Account Number: 123456789
 ABA Routing: 101000091

Letter of Intent: Establish a new LOI Agreement Amount: \$25,000.00

New Funds Included in Link:

- CLIENT SERVICES SPECIALIZED PORTFOLIOS
- CLIENT SERVICES LOAD FUND
- CLIENT SERVICES LOAD TEST FUND

Existing Accounts to be Linked to a New LOI:

Existing Fund	Existing Account(s)
CLIENT SERVICES SPECIALIZED PORTFOLIOS	5555

Rights of Accumulation: The new accounts and any eligible related accounts will be automatically linked together for ROA

Telephone Redemption:

Fund Name	Options
CLIENT SERVICES SPECIALIZED PORTFOLIOS	Telephone redemptions not allowed
CLIENT SERVICES MONEY MARKET FUND	Telephone redemptions not allowed
NO-LOAD FUND	Telephone redemptions not allowed
CLIENT SERVICES LOAD FUND	Telephone redemptions not allowed

Telephone Exchange: The following funds have been selected for telephone exchange

Fund Name
CLIENT SERVICES SPECIALIZED PORTFOLIOS
CLIENT SERVICES MONEY MARKET FUND

Representative Information

Dealer Number: 11111
 Branch Number: 111
 Rep Number: 1234
 Representative Name: GERTRUDE STEIN
 Representative Phone Number:

Establish Account(s) Electronically

By clicking Establish Account(s) Electronically, the new account(s) will be established real time at the fund, and the initial purchase will be settled automatically via Automated Clearing House (ACH), as instructed. The fund company has ACH processing rules which may affect the transactions made. The fund company reserves the right to reject the transaction. Additional instructions will be provided on how to print the application and suitability form, if applicable.

[Return to Menu] [Decline] [Help] [E-Mail to Vision@dst.com]

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Account Application Verification (Part II)

Registration Information

This section contains the full registration (name, registration type and address) as well as the type of account, SSN, citizenship, business and home telephone numbers and e-mail address.

Investment Selection

Displays the fund name, share class, initial investment amount, total investment, payment type, and bank instructions for all funds selected. The **Initial Investment Amount** will display as "0.00" if the initial investment was waived. **Total, Payment Type and Bank Account Information** for Initial Investment will not appear if the initial investment was waived for all funds selected.

Account Options

Distributions

Displays the dividend and capital gains processing instructions for each mutual fund selected. The reinvest to account registration will appear for mutual funds when the reinvestment diversification plan was selected. Additionally, for mutual funds paying dividends and capital gains by direct deposit, the bank accounts instructions will appear.

Automatic Investment

Displays the plan starting month, investment frequency, investment amounts and days, and bank instructions.

Automatic Withdrawal

Displays the plan starting month, withdrawal frequency, investment amounts and days, and bank instructions.

Letter of Intent

Displays the LOI options specified, the registration information for existing accounts linked to the new LOI, and the LOI information and registration information where the new account were linked to an existing LOI.

Rights of Accumulation

Displays the ROA options specified, the registration information for existing accounts linked to the new ROA, and the ROA information and registration information where the new accounts were linked to an existing ROA.

Interested Party

Displays up to four interested parties' names and addresses.

650327 12/10/99

Telephone Redemption

Displays the telephone redemption processing options and bank instructions.

Telephone Exchange

Indicates whether or not telephone exchange was specified.

Representative Information

Displays the dealer number and name, branch number, representative number and name as well as the representative phone number.

Establish Account(s) Electronically

Press this button to format and transmit the new account information to the fund through the Web server. The accounts will be established in real time. The confirmation or remittance will include the trade reference code and account number established for each mutual fund selected.

Display/Print Application (for Payment by Check)

This button appears only if you selected **Mail Check to the fund** as the payment type on the Enter Investment Amount window and allows you to print a copy of the application to mail to the fund with the check.

Account Application Confirmation (ACH Payment)

If the shareholder is establishing an account via ACH, an Account Application Confirmation window appears.

660627 2232460

VISION - New Account Setup - JOINT TENANT - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
Account Application Confirmation

Today's Date: 09/28/1999 12:51:44 PM CST

Please print this page.

You have approved a request to establish new accounts listed below with a total initial investment of \$ 525.00. This amount will be withdrawn from your bank account displayed below. The fund company has Automated Clearing House (ACH) processing rules which may affect this transaction's trade date. The fund company reserves the right to reject this transaction. If the shareholder does not receive a written confirmation of this transaction, please contact the fund company at (816) 943-6712.

Registration Information

SIDONIE-GABRIELLE COLETTE &
HENRI DE JOUVENAL ITWROS
1734 WYOMING ST. APT 2N
KANSAS CITY MO 64111-3835

Type: JOINT TENANT
SSN: 264-11-7472
Citizenship: Resident Alien
Bus. Phone: (816) 435-8105
E-mail: sgc@eban.com

Investment Selection

Fund Name (CUSIP)	Share Class	Account Number	Initial Investment Amount
CLIENT SERVICES SPECIALIZED PORTFOLIOS (CUSIP9700)	CLASS A SHARES	6000006894	\$.00
CLIENT SERVICES MONEY MARKET FUND (CUSIP3400)	CLASS A SHARES	6000006894	\$.00
NO-LOAD FUND (CUSIP9500)	CLASS A SHARES	6000006894	\$ 50.00
CLIENT SERVICES LOAD FUND (33154310)	CLASS A SHARES	6000006894	\$ 230.00
CLIENT SERVICES LOAD TEST FUND (54400410)	CLASS A SHARES	6000006894	\$ 225.00

Payment Type: Electronically Debit Customer's Bank Account

Total: \$ 525.00

Bank Account Information for Initial Investment
Bank Name: PEOPLES BANK OF MISSOURI
Bank Address: PO BOX 419224
KANSAS CITY MO 64141-0000
Account Number: 123456789
ABA Routing#: 101000025

Display/Print Application

[Disclaimer | Help | E-Mail to Vision Setup-3]

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Account Application Confirmation

Registration Information

This section contains the full registration (name, registration type and address) as well as the type of account, SSN, citizenship, business and home telephone numbers and e-mail address.

Investment Selection

Displays all the mutual funds selected where new accounts will be established as well as share class, initial investment amount, payment type, bank instructions and account numbers.

Display/Print Application

Click this button to display a printable Account Application including the account numbers as well as spaces for shareowner signature(s) in a separate frame.

Account Application Remittance (Payment by Check)

The Account Application Remittance form will appear if the account is established electronically and the initial purchase will be settled by check. The remittance form includes shareowner account information, investment selections, and the new account numbers. The form should be printed and remitted to the fund company along with the shareowner's check.

Verion - New Account Setup - Individual Male - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
Account Application Remittance
Today's Date: 06/23/99 10:25:20 AM CST

Please print this page.

You have approved a request to establish new accounts listed below with a total initial investment of \$100.00. Please attach your check to a printed copy of this application remittance and forward it to the fund company. If the shareholder does not receive a written confirmation of this transaction, please contact the fund company at (816) 843-6712.

Registration Information

MOUREK KOCUREK 3731 WYOMING ST APT 2N KANSAS CITY MO 64111-3835	Type: Individual Male SSN: 264-11-7472 Citizenship: Resident Alien
---	--

Investment Selection

Fund Name (CUSEZ)	Share Class	Account Number	Initial Investment Amount
CLIENT SERVICES SPECIALIZED PORTFOLIOS (CUSEP700)	CLASS A SHARES	0000015761	\$100.00
Payment Type: Check			Total: \$100.00

Display/Print Application

Disclaimer: Click
E-Mail to Verion Support

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

Account Application Remittance

Registration Information

This section contains the full registration (name, registration type and address) as well as the type of account, SSN, citizenship, business and home telephone numbers and e-mail address.

Investment Selection

Displays all the mutual funds selected where new accounts will be established as well as share class, initial investment amount, payment type, bank instructions and account numbers.

Display/Print Application

Click this button to display a printable Account Application including the account numbers as well as spaces for shareowner signature(s) in a separate frame.

New Account Application/Adoption Agreement

This window allows the operator to print a copy of the completed application including the fund-specific text, registration information, investment selections, new account numbers, account options, and an area for the shareowner's signature and date.

For fiduciary accounts, the New Account Application includes beneficiary information and an adoption agreement.

094563 12099
660627 22952450

3 Vision - New Account Setup - JOINT TENANT - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS FUNDS
New Account Application
Today's Date: 05/26/99 12:34:41 PM CDT

Please print this page.

By completing the following new account application, the investor agrees that the rights of the bank named below with respect to checks drawn on and debt entries initiated to the investors account are the same as if they were checks drawn on the bank and signed by the investor. The investor agrees that the bank shall be fully protected and without any liability whatsoever in honoring or refusing to honor any such check and in accepting or refusing to accept any such debt entry, whether with or without cause and whether intentionally or inadvertently.

Registration Information

SIDONIE GABRIELLE COLETTE &
HENRI DE JOUVENAL JT WRCS
3731 WYOMING ST APT 2N
KANSAS CITY MO 64111-3235

Type: JOINT TENANT
SSN: 264-11-7472
Citizenship: Resident Alien
Res. Phone: (816) 415-5105
E-mail: sgc@chm.com

Investment Selection

Fund Name (CUSIP)	Share Class	Account Number	Initial Investment Amount
CLIENT SERVICES SPECIALIZED PORTFOLIOS (CUSEP700)	CLASS A SHARES	6000006894	\$ 00
CLIENT SERVICES MONEY MARKET FUND (CUSEP340)	CLASS A SHARES	6000006894	\$ 00
NO-LOAD FUND (CUSEP900)	CLASS A SHARES	6000006894	\$ 30.00
CLIENT SERVICES LOAD FUND (331545180)	CLASS A SHARES	6000006894	\$ 20.00
CLIENT SERVICES LOAD TEST FUND (C4604107)	CLASS A SHARES	6000006894	\$ 20.00

Payment Type: Electronically Debit Customer's Bank Account
Total: \$ 520.00

Bank Account Information for Initial Investment
Bank Name: PEOPLES BANK OF MISSOURI
Bank Address: PO BOX 419226
KANSAS CITY MO 64141-0000
Account Number: 123456789
ABA Routing#: 101000695

Account Information

Distribution:
CLIENT SERVICES SPECIALIZED PORTFOLIOS: Reinvest dividends, Reinvest capital gains
CLIENT SERVICES LOAD FUND: Reinvest dividends and capital gains to NO-LOAD FUND
Account: 3000
Registration Information: DEBBIE E LOPEZ, 503 PACIFIC DR, BELTON MO 64012-2935

Automatic Investment:
Starting Month: Sep
Frequency: Apr, Sep
Funds Selected Today: Amount: Investment Day(s)
CLIENT SERVICES SPECIALIZED PORTFOLIOS: \$100.00 01
CLIENT SERVICES MONEY MARKET FUND: \$30.00 15
NO-LOAD FUND: \$25.00 01
CLIENT SERVICES LOAD FUND: \$75.00 15
CLIENT SERVICES LOAD TEST FUND: \$120.00 01

Bank Account Information for Automatic Investment:
Bank Name: PEOPLES BANK OF MISSOURI
Bank Address: PO BOX 419226
KANSAS CITY MO 64141-0000
Account Number: 123456789
ABA Routing#: 101000695

New Account Application (Part I)

Vision - New Account Setup - JOINT TENANT - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Representative Information

Dealer Number: 1111
Branch Number: 111
Rep Number: 1234
Representative Name: GERTRUDE STEIN
Representative Phone Number:

You must complete this section in order to establish your account. Sign exactly as printed on registration. Print titles below if signing on behalf of a business or trust. For joint registration, all must sign.

- I am of legal age, have read the fund prospectus(es) and agree to its terms.
- If I have not declined the automated transaction privileges, I agree to exclusively hold harmless GLOBAL PRIME INVESTORS FUNDS, and its subsidiaries, including GLOBAL PRIME INVESTORS FUNDS (the Fund's service agent), collectively "GLOBAL PRIME INVESTORS FUNDS" and any fund that may be involved in transactions authorized by telephone or Internet against my claim, loss, expenses or damage, including reasonable fees of investigation and counsel, in connection with any automated withdrawal effected on my account. Furthermore, GLOBAL PRIME INVESTORS FUNDS is authorized to act upon instructions received by Internet or telephone from any party that can provide my personal identification number in the case of transactions performed via the Internet or FundInfo, or in the case of automated transactions performed by other means, any two of the following: 1) my account registration, 2) address of record, and/or 3) Social Security number. Joint accounts will act on the instruction of any one tenant.
- I understand that the automated transaction privilege may be modified or terminated at any time. I also understand that all privileges and features selected in this application, including the automated transaction privilege if I have not declined it, are subject to the conditions and provisions set forth herein and in the current prospectuses of the funds.
- I understand that if I elect to declare one or more beneficiaries, the account is subject to the GLOBAL PRIME INVESTORS FUNDS Rules Governing Transfer on Death Registrations under the Missouri non-probate transfer laws.
- I understand that if GLOBAL PRIME INVESTORS FUNDS or any fund fails to follow the procedures outlined in the prospectus, it may be liable for any losses due to unauthorized or fraudulent instruction.

For corporations, trusts, or partnerships: We hereby certify that each of the persons listed below has been duly elected, is now legally holding the office set forth opposite his/her name, and has the authority to make this authorization.

If I am a U.S. citizen or resident alien, as indicated above, I certify under penalties of perjury that (1) my Social Security or tax identification number provided in this application is correct for I am waiting for a number to be issued to me, and (2) I am not subject to backup withholding because (a) I am exempt from backup withholding or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding or (c) the IRS has notified me that I am no longer subject to backup withholding. (Please cross out item (2) (b) above if it does not apply to you.)

If I am a non-resident alien, as indicated above, I certify under penalty that I am not a U.S. citizen or resident alien (or I am filing for foreign corporation, partnership, estate, or trust), and I am an exempt foreign person as defined under IRS regulations.

The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

Signature and Date

Signature _____ Date _____

Display/Print Brokerage Application

By pressing the Display/Print Brokerage Application button, the completed Brokerage Application will be displayed to print.

Disclaimer | Help | E-Mail for Vendor Support

Copyright © 1999 DST Systems, Inc. All Rights Reserved.

New Account Application (Part II)

Registration Information

This section contains the full registration (name, registration type and address) as well as the type of account, SSN, citizenship, business and home telephone numbers and e-mail address.

Investment Selection

Displays all the mutual funds selected where new accounts will be established as well as share class, initial investment amount, payment type, bank instructions and account numbers.

Display/Print Brokerage or Suitability Application

If you completed a brokerage or suitability application during new account setup, you can display or print a copy of the form by clicking this button.

660621 2292460

Appendix A:

State/Country Abbreviations

If the registration type is Uniform Gift/Transfer to Minors (UTMA/UGMA), the Web sends a two-character state abbreviation to the Registration Format view identified by the transaction ID of EDITSCRB2@VISION. It is used to verify if the state allows UTMAs or UGMAs. This applies only to domestic U.S. postal codes.

The Web sends a two-character state/country abbreviation plus a domestic/foreign indicator from the REG Transaction Variable Repeatable Request Date area to the New Account Establishment view identified by the transaction ID of NASUUPDT@VISION.

If the user selects "U.S. Citizenship" or "Resident Alien" on the registration page, the state/country code will be the state abbreviation (from the list below) plus an indicator of "D" for "domestic."

If the user selects "Non-Resident Alien" on the registration page, the resident state/country code will be the country code (from the list below) plus an indicator of "F" for foreign.

For example, if the state/country code is "CA" and the indicator is "D," this will be matched with "California." If the indicator is "F," it will be matched with "Canada."

APO/FPO US ABR is an exception. Because it has no postal code or US IRS code associated with it, the Web sends an '099' in the resident state country code.

Postal Code	State/Country	Domestic Indicator
AL	ALABAMA	D
AK	ALASKA	D
AZ	ARIZONA	D
AR	ARKANSAS	D
CA	CALIFORNIA	D
CO	COLORADO	D
CT	CONNECTICUT	D
DE	DELAWARE	D
DC	DIST OF COLUMBIA	D

Postal Code	State/Country	Domestic Indicator
FL	FLORIDA	D
GA	GEORGIA	D
HI	HAWAII	D
ID	IDAHO	D
IL	ILLINOIS	D
IN	INDIANA	D
IA	IOWA	D
KS	KANSAS	D
KY	KENTUCKY	D
LA	LOUISIANA	D
ME	MAINE	D
MD	MARYLAND	D
MA	MASSACHUSETTS	D
MI	MICHIGAN	D
MN	MINNESOTA	D
MS	MISSISSIPPI	D
MO	MISSOURI	D
MT	MONTANA	D
NE	NEBRASKA	D
NV	NEVADA	D
NH	NEW HAMPSHIRE	D
NJ	NEW JERSEY	D
NM	NEW MEXICO	D
NY	NEW YORK	D
NC	NORTH CAROLINA	D
ND	NORTH DAKOTA	D
OH	OHIO	D
OK	OKLAHOMA	D
OR	OREGON	D

660621 235460

[illegible]

Postal Code	State/Country	Domestic Indicator
AU	AUSTRIA	F
AJ	AZERBAIJAN	F
BF	THE BAHAMAS	F
BA	BAHRAIN	F
FQ	BAKER ISLAND	F
BG	BANGLADESH	F
BB	BARBADOS	F
BS	BASSAS DA INDIA	F
BO	BELARUS	F
BE	BELGIUM	F
BH	BELIZE	F
BN	BENIN	F
BD	BERMUDA	F
BT	BHUTAN	F
BL	BOLIVIA	F
BK	BOSNIA-HERCEGOVINA	F
BC	BOTSWANA	F
BV	BOUVET ISLAND	F
BR	BRAZIL	F
VI	BRITISH VIRGIN ISLANDS	F
IO	BRITISH INDIAN OCEAN TERRITORY	F
BX	BRUNEI	F
BU	BULGARIA	F
UV	BURKINA FASO	F
BM	BURMA	F
BY	BURUNDI	F
CB	CAMBODIA	F
CM	CAMEROON	F
CA	CANADA	F

6600001 4293460

Postal Code	State/Country	Domestic Indicator
CV	CAPE VERDE	F
CJ	CAYMAN ISLANDS	F
CT	CENTRAL AFRICAN REPUBLIC	F
CD	CHAD	F
CI	CHILE	F
CH	PEOPLE'S REPUBLIC OF CHINA	F
KT	CHRISTMAS ISLAND	F
IP	CLIPPERTON ISLAND	F
CK	COCOS (KEELING) ISLANDS	F
CO	COLOMBIA	F
CN	COMOROS	F
CF	CONGO	F
CW	COOK ISLANDS	F
CR	CORAL SEA ISLANDS TERRITORY	F
VP	CORSICA	F
CS	COSTA RICA	F
IV	COTE D'IVOIRE	F
HR	CROATIA	F
CU	CUBA	F
CY	CYPRUS	F
EZ	CZECH REPUBLIC	F
DA	DENMARK	F
DJ	DJIBOUTI	F
DR	DOMINICAN REPUBLIC	F
DO	DOMINICA	F
EC	ECUADOR	F
EG	EGYPT	F
ES	EL SALVADOR	F
EK	EQUATORIAL GUINEA	F

660627 2E992460

Postal Code	State/Country	Domestic Indicator
ER	ERITREA	F
EN	ESTONIA	F
ET	ETHIOPIA	F
EU	EUROPA ISLAND	F
FK	FALKLAND ISLANDS	F
FO	FAROE ISLANDS	F
FJ	FIJI	F
FI	FINLAND	F
FR	FRANCE	F
FG	FRENCH GUIANA	F
FP	FRENCH POLYNESIA	F
FS	FRENCH SOUTHERN & ANTARTIC LANDS	F
GB	GABON	F
GA	GAMBIA	F
GZ	GAZA STRIP	F
GG	GEORGIA	F
GM	GERMANY	F
GH	GHANA	F
GI	GIBRALTAR	F
GO	GLORIOSO ISLANDS	F
GR	GREECE	F
GL	GREENLAND	F
GJ	GRENADA	F
VC	GRENADINE ISLANDS	F
GP	GUADELOUPE	F
GQ	GUAM	F
GT	GUATEMALA	F
GK	GUERNSEY	F
GV	GUINEA	F

0047337-12099

December 10, 1999

Postal Code	State/Country	Domestic Indicator
KG	KYRGYZSTAN	F
LA	LAOS	F
LG	LATVIA	F
LE	LEBANON	F
LT	LESOTHO	F
LI	LIBERIA	F
LY	LIBYA	F
LS	LIECHTENSTEIN	F
LH	LITHUANIA	F
LU	LUXEMBOURG	F
MC	MACAU	F
MK	MACEDONIA	F
MA	MADAGASCAR	F
MI	MALAWI	F
MY	MALAYSIA	F
MV	MALDIVES	F
ML	MALI	F
MT	MALTA	F
RM	MARSHALL ISLANDS	F
MB	MARTINIQUE	F
MR	MAURITANIA	F
MP	MAURITIUS	F
MF	MAYOTTE	F
MX	MEXICO	F
FM	MICRONESIA	F
MQ	MIDWAY ISLANDS	F
MD	MOLDOVA	F
MN	MONACO	F
MG	MONGOLIA	F

660621 4292460

Postal Code	State/Country	Domestic Indicator
MW	MONTENEGRO	F
MH	MONTSERRAT	F
MO	MOROCCO	F
MZ	MOZAMBIQUE	F
WA	NAMIBIA	F
NR	NAURU	F
BQ	NAVASSA ISLAND	F
NP	NEPAL	F
NL	NETHERLANDS	F
NT	NETHERLANDS ANTILLES	F
NC	NEW CALEDONIA	F
NZ	NEW ZEALAND	F
NU	NICARAGUA	F
NG	NIGER	F
NI	NIGERIA	F
NE	NIUE	F
CQ	NORTHERN MARIANA ISLANDS	F
NF	NORFOLK ISLAND	F
KN	NORTH KOREA	F
NO	NORWAY	F
MU	OMAN	F
PK	PAKISTAN	F
PS	PALAU	F
LQ	PALMYRA ATOLL	F
PM	PANAMA	F
PP	PAPUA NEW GUINEA	F
PF	PARACEL ISLANDS	F
PA	PARAGUAY	F
PE	PERU	F

660627 22992460

Postal Code	State/Country	Domestic Indicator
RP	PHILIPPINES	F
PC	PITCAIRN ISLAND	F
PL	POLAND	F
PO	PORTUGAL	F
RQ	PUERTO RICO	F
QA	QATAR	F
RE	REUNION	F
RO	ROMANIA	F
RS	RUSSIA	F
RW	RWANDA	F
SM	SAN MARINO	F
TP	SAO TOME & PRINCIPE	F
SA	SAUDI ARABIA	F
SG	SENEGAL	F
SR	SERBIA	F
SE	SEYCHELLES	F
SL	SIERRA LEONE	F
SN	SINGAPORE	F
LO	SLOVAKIA	F
SI	SLOVENIA	F
BP	SOLOMON ISLANDS	F
SO	SOMALIA	F
SX	SOUTH SANDWICH ISLANDS	F
SF	SOUTH AFRICA	F
SX	SOUTH GEORGIA	F
KS	SOUTH KOREA	F
SP	SPAIN	F
PG	SPRATLY ISLANDS	F
CE	SRI LANKA	F

660327 22 29 2460

Postal Code	State/Country	Domestic Indicator
SH	ST HELENA	F
SC	ST KITTS AND NEVIS	F
ST	ST LUCIA	F
SB	ST PIERRE & MIQUELON	F
SU	SUDAN	F
NS	SURINAME	F
SV	SVALBARD	F
WZ	SWAZILAND	F
SW	SWEDEN	F
SZ	SWITZERLAND	F
SY	SYRIA	F
TW	TAIWAN	F
TI	TAJIKISTAN	F
TZ	TANZANIA	F
TH	THAILAND	F
TO	TOGO	F
TL	TOKELAU	F
TN	TONGA	F
TD	TRINIDAD AND TOBAGO	F
TE	TROMELIN ISLAND	F
TS	TUNISIA	F
TU	TURKEY	F
TX	TURKMENISTAN	F
TK	TURKS AND CAICOS	F
TV	TUVALU	F
UG	UGANDA	F
UP	UKRAINE	F
UK	UNITED KINGDOM	F
UY	URUGUAY	F

0947337-1399

Postal Code	State/Country	Domestic Indicator
TC	UTD ARAB EMIRATES	F
UZ	UZBEKISTAN	F
NH	VANUATU	F
VT	VATICAN CITY	F
VE	VENEZUELA	F
VM	VIETNAM	F
VQ	VIRGIN ISLANDS	F
WQ	WAKE ISLAND	F
WF	WALLIS & FUTUNA	F
WE	WEST BANK	F
WI	WESTERN SAHARA	F
WS	WESTERN SAMOA	F
YM	YEMEN	F
CG	ZAIRE	F
ZA	ZAMBIA	F
ZI	ZIMBABWE	F

660627 22032460

Appendix B:

ICI Fund Investment Objective Codes

Value	Description
000	Aggressive Growth
001	Growth
002	Growth and Income
003	Balanced
004	Income
005	Corporate Bond
006	Short-Term Municipal
007	Long-Term Municipal
008	Option Income
009	Money Market
010	Government
011	Ginnie Mae
012	Precious Metals
013	International
014	State Municipal-Long Term
015	State Municipal-Short Term
016	Global Equity
017	Income-Equity
018	Income-Bond
019	High-Yield Bond
020	Global Bond
021	Flexible Portfolio
022	Mortgage

Value	Description
023	Equity Income
024	Small Company
025	High-Quality Municipal Bond
026	High Yield
027	Municipal Bond
028	International Bond
029	International Equity
030	Long-Term Growth
031	Government Money Market
032	Taxable Money Market
033	Tax-Free Money Market
034	Other Specialty Funds
035	Asset Allocation
036	Single State Municipal Bond
037	Total Return
038	Utility
039	Index
050	Equity Variable Annuities
051	Bond and Income Annuities
060	All Funds Not Offering Shares
061	Micropal Fund Type Selection
062	Guaranteed Investment